United States Department of Education (ED)
Office of Postsecondary Education (OPE)
Federal TRIO Programs (TRIO)

User Guide
For the
UB/UBMS Program
Annual Performance Report
Website

November 2011

Submitted by

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Table of Contents

1 Overview

1.1 Introduction

The Federal TRIO Programs office, within the Office of Postsecondary Education (OPE) at the United States Department of Education (ED), has designed the UB/UBMS Online Annual Performance Report (APR) site so that grantees can prepare and submit the APR data.

1.2 Features of the Site

Features of the UB/UBMS site include:

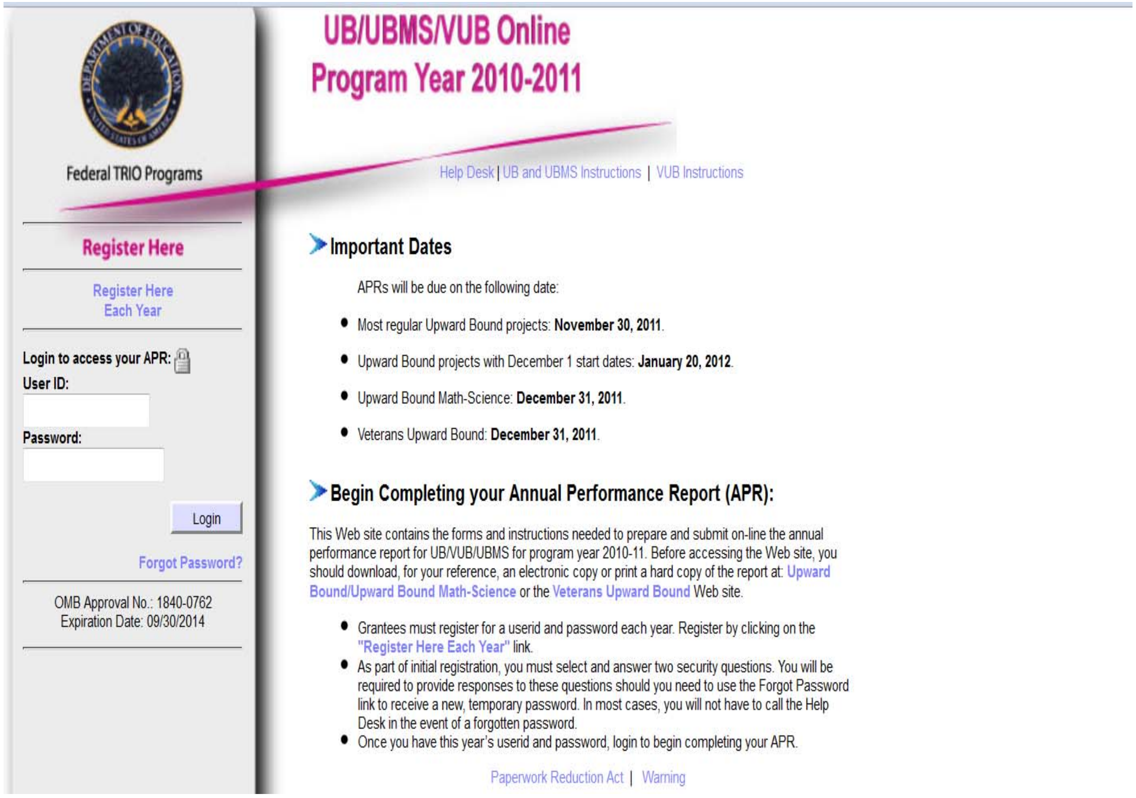
- An online user guide and online help;
- A Web form for completing Section I online;
- A feature that allows you to upload an electronic file with the individual participant records (Section II);
- A "***print***" button to produce a hard copy of the information entered;
- A "***submit***" button to send the entire report to the Department; and
- An e-mail confirmation that the report has been submitted (if you provide an e-mail address in Section I).

2 Accessing the Site

The main page of the UB/UBMS/VUB site is shown below. You must register on the site to obtain a user id and password. An overview of the registration process follows.

Note: Even if you registered last year, you must register again in order to access the 2010-2011 APR Web site.

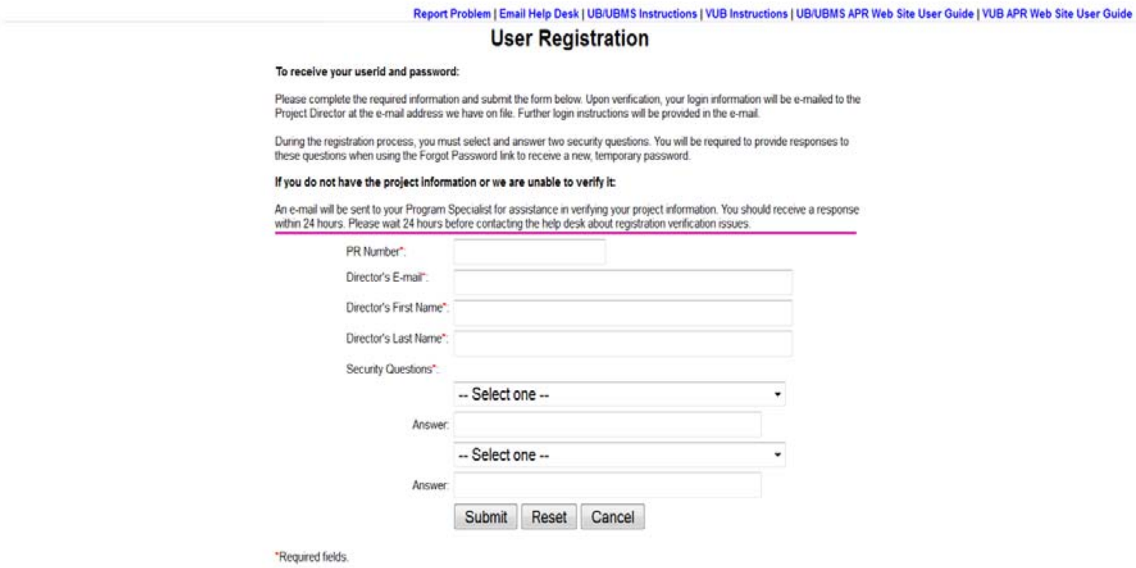
For initial access, click ***Register Here Each Year*.**



2.1 Register Here Each Year

To register each year, enter your PR Number, your project director's email address, first and last name. If the information matches the UB programs' system of records, the system will email your user id and password to the project director; otherwise, it will email your program specialist to verify your information.

Note: You should receive a response within 24 hours. Please wait at least 24 hours before contacting the help desk about registration verification issues.



Report Problem | Email Help Desk | UB/UBMS Instructions | VUB Instructions | UB/UBMS APR Web Site User Guide | VUB APR Web Site User Guide

User Registration

To receive your userid and password:

Please complete the required information and submit the form below. Upon verification, your login information will be e-mailed to the Project Director at the e-mail address we have on file. Further login instructions will be provided in the e-mail.

During the registration process, you must select and answer two security questions. You will be required to provide responses to these questions when using the Forgot Password link to receive a new, temporary password.

If you do not have the project information or we are unable to verify it:

An e-mail will be sent to your Program Specialist for assistance in verifying your project information. You should receive a response within 24 hours. Please wait 24 hours before contacting the help desk about registration verification issues.

PR Number*:

Director's E-mail*:

Director's First Name*:

Director's Last Name*:

Security Questions*:

-- Select one --

Answer:

-- Select one --

Answer:

Submit Reset Cancel

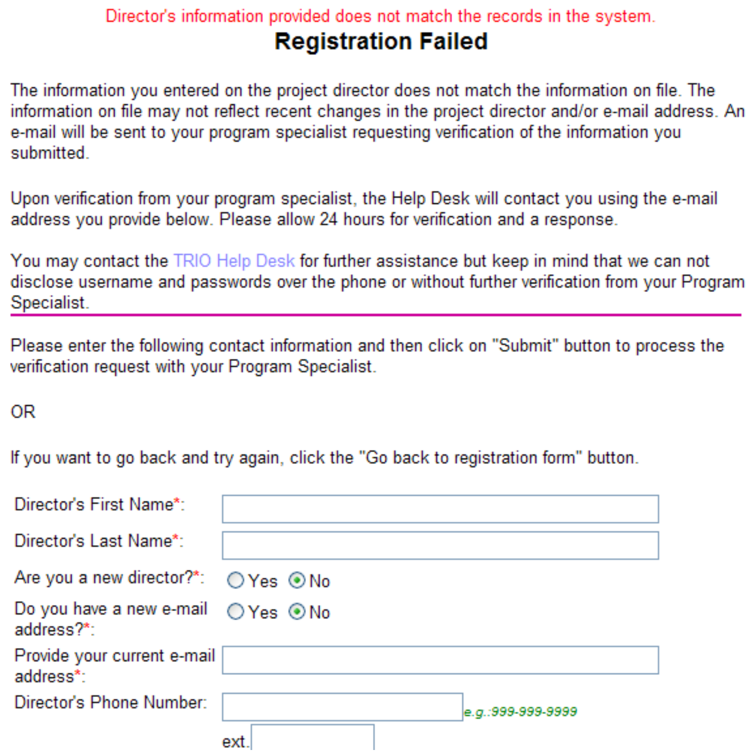
*Required fields.

2.1.1 Registration Failed:

If the system is unable to verify the information you entered, it will display the ***Registration Failed*** page, shown below. This page describes the secondary verification process.

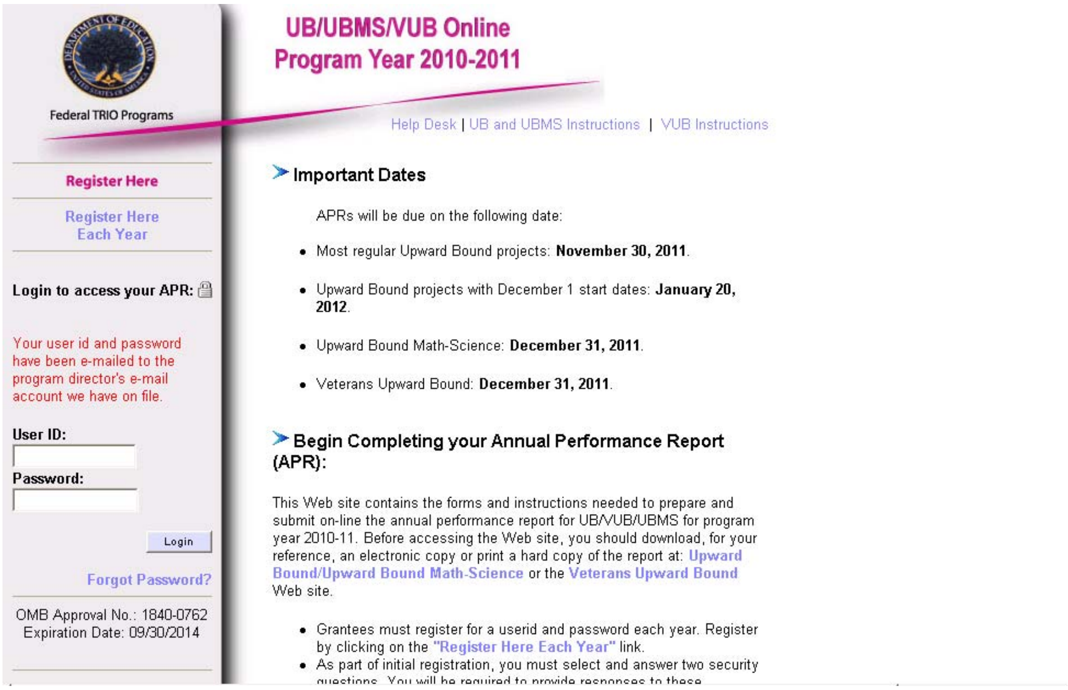
- If you think you made a mistake on the registration page, click the "***Go back to registration form"*** button to try again.
- If you are a new project director, you must enter the information requested on the lower half of the page.

Once the program specialist has verified your information, the help desk will contact you within 24 hours using **the email address that you provide on this page.** Please allow 24 hours for verification and response.



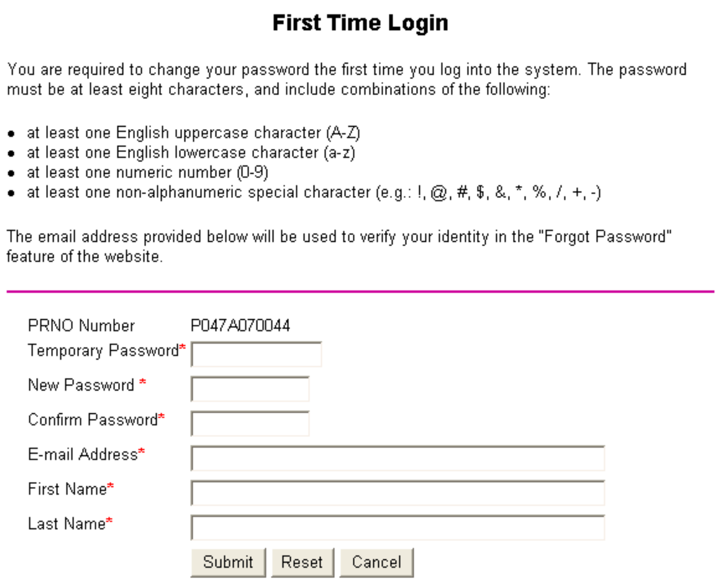
2.1.2 Registration Successful:

If the system successfully verifies your information, it will email your login information to your project director and redisplay the main page with the message shown below.



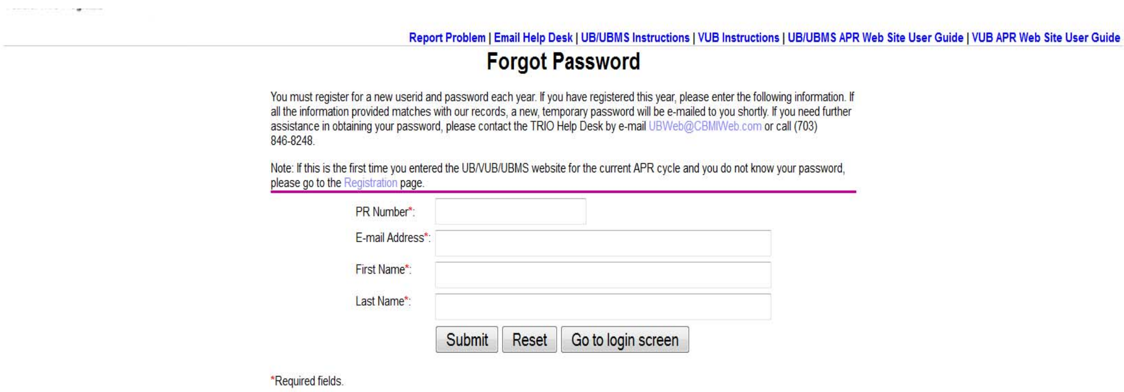
2.2 Log in as a Registered User

Log in to the system with your new user id and password. After your initial login, the system will prompt you to change your temporary password. Your new password must include at least one upper case letter, one lower case letter, one number, and one special character.



2.3 Forgot Password

If you forget your password after you have logged in and changed it, click on the ***Forgot Password*** link on the Main Page. Enter and submit the requested information to receive a new, temporary password.



2.4 Successful Login

A warning message regarding authorized use and privacy will display after you log in successfully. Click "***Ok***" to continue.

Confirm that the correct PR number and institution are displayed by clicking "***Continue***". If the information is incorrect, please click "***Cancel***" and report the problem to the help desk.


UB/UBMS/VUB Online
Federal TRIO Programs
Report Problem | Email Help Desk | UB/UBMS Instructions | VUB Instructions | UB/UBMS APR Web Site User Guide | VUB APR Web Site Us
PR Number Confirmation
Please verify the information displayed below.
If this is NOT your institution's information, click the Cancel button and enter the correct PR Number.
If this IS your institution's information, click the Continue button.
Institution/Campus PR Number: P047A040067
Name of Institution/Campus: Southeastern Oklahoma State University OK
Continue
Cancel
Report Problem | Email Help Desk | UB/UBMS Instructions | VUB Instructions | UB/UBMS APR Web Site User Guide | VUB APR Web Site Us

3 Navigating the Site

The APR has three sections. After initial login, the system displays the Section I page. To navigate between sections, click on the individual tabs at the top of the page, ***Section I, Section II,*** **and** ***Review and Submit***. The current tab is highlighted in light blue.

The PR /Award Number and institution name are displayed at the upper left corner of each page.

At the upper right corner, note that there are six hyperlinks:

- The ***Report Problem*** link allows you to report a problem with the site to the Help Desk;
- The ***Email Help Desk*** link lets you generate an e-mail message to the Help Desk requesting assistance;
- The ***UB/UBMS Instructions*** link displays the Department of Education (ED) site's UB/UBMS APR page. From there, you can download APR instructions and the participant record structure. The Department strongly suggests that you review these documents before working with the Web application.
- The ***VUB Instructions*** link displays the Department of Education (ED) site's VUB APR page. From there, you can download APR instructions and the participant record structure.
- The links for the ***UB/UBMS and VUB APR Web Site User Guides*** connect users to this downloadable guide and the companion guide for VUB grantees.
- The ***Log Out*** link logs you off the application and displays the main page.

The section tabs and hyperlinks are repeated at the bottom of the page for convenience.

Once you have completed Section I, click on the "***Save and go to next section***" button. You may tab from one section to another, or log off and return at another time to complete a section. If you do, be sure to save the current page before exiting. The system will validate your entries and will not allow you to submit the APR if it detects errors or omissions.

4 Section I: Project Identification, Certification, and Warning

Section I of the report will display with pre-populated information about your grantee institution. Verify the information and update as needed. If you would like an email confirmation when you successfully submit your report, enter your email address on this page.

The project director and certifying official for the institution must sign and date Section I of the 2010-11 APR to certify that the information reported and submitted electronically is readily verifiable, accurate, and complete. After you complete the APR online, print a hard copy of the completed report and obtain the required signatures. After both the director and the certifying official have signed the report, fax the signed **Section I only** of the APR to: **(703) 832-1360**.

Please do not fax the entire report. For your records, you should keep in your files Section I with the original signatures and a copy of the two parts of your APR submission: (1) the PDF version of Section I and the data validation reports, which you will be able to print at the end of your submission; and (2) the Excel file of your individual participant records. These items are discussed later in this user's guide.

UB/UBMS/VUB Online

Federal TRIO Programs

Report Problem | Email Help Desk | UB/UBMS Instructions | VUB Instructions | UB/UBMS APR Web Site User Guide | VUB APR Web Site User Guide | Log Out

Section I | Section II | Review & Submit

PR/Award Number: P047A070034
Name of Grantee: Odessa College

Save and go to next section | Reset

Section I - Project Identification, Certification and Warning

A. Identification: (Fields marked with an asterisk "*" are required.)

1. PR/Award Number: P047A070034
2. Name of Grantee Institution/Agency: Odessa College

3. Address:
   - Campus:
   - Street:* 201 W. University
   - City:* Odessa
   - State:* TX Zip:* 79764

4. Name of Project Director:
   - Prefix:
   - First Name: * Yvette
   - MI:
   - Last Name: * Barreno

5. Telephone Number: * 432-238-0195 ex.:999-999-9999 ext.
   - Fax Number: ex.:999-999-9999 ext.
   - E-mail Address:* ybarreno@odessa.edu

6. Report Period: 09/01/2010 to 08/31/2011

7. Type of Project: Upward Bound

8. For UBMS projects *only*, please indicate whether project is *:
   - ○ regional (i.e., serves at least two states) or
   - ○ non-regional (i.e., operates within a state or a locality).

9. Project Characteristics (to be completed by all UB and UBMS projects; ***not applicable to VUB***)*
   - a. Summary residential program (select one below)
     - ○ Yes
     - ○ No
     - ◉ Some participants are residential, others commute
   - b. Number of weeks of summer program (insert #) 9
   - c. Frequency of academic year contacts between project staff and participants (select only one)
     - ○ Weekly
     - ○ Twice a month
     - ○ Once a month
     - ○ Quarterly
     - ◉ No face-to-face contact
     - ○ Other

10. Data Entry Person:
    - Prefix:
    - First Name: * ngoc
    - MI:
    - Last Name: * le
    - Telephone Number: * 999-999-9999 ex.:999-999-9999 ext.

If you would like to receive an email confirmation upon successful submission of your Annual Performance Report, please enter your email address:

B. Certification

The Project Director and Certifying Official are required to sign and date Section I of the 2010-11 Annual Performance Report form to certify the accuracy and completeness of the information submitted electronically. After completing the entire report online, you will be able to print a copy of Section I, which will include signature lines for the project director and certifying official. Please print and fax SECTION I only to the U. S. Department of Education at (703) 832-1360. Please use the Print button provided on the Submit page.

Please review the information in this section for accuracy and make needed changes before proceeding to the next section of the report form.

☑ **I have verified the information in this section.**

C. Warning

Any person who knowingly makes a false statement or misrepresentation on this report is subject to penalties which may include fines, imprisonment, or both, under the United States Criminal Code and 20 U.S.C. 1097.

Further federal funds or other benefits may be withheld under these programs unless this report is completed and filed as required by existing law (20 U.S.C. 1231a) and regulations (34 CFR 75.590 and 75.720).

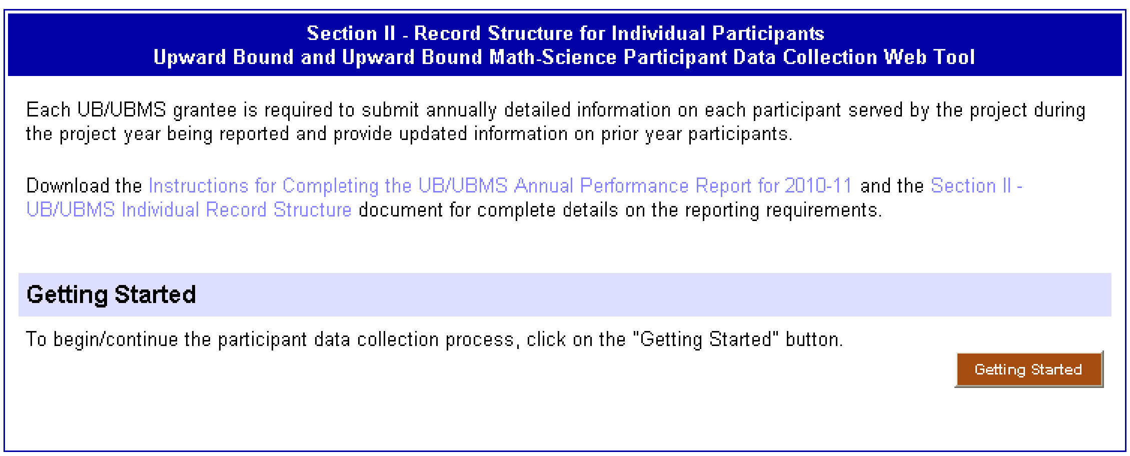
Save and go to next section | Reset

5 Section II: Record Structure for Individual Participants

5.1 Section II Main Page

To access Section II, click the ***Section II*** tab at the top or bottom of the page, or complete Section I and click on the "***Save and go to next section***" button.

Download:
Instructions for Completing the UB/UBMS Annual Performance Report for 2010-11
and
Section II –UB/UBMS Individual Record Structure through the hyperlinks on this page. Click on the "***Getting Started***" button to continue.



5.2 Getting Started Page

This page identifies four options for reporting and submitting participant data:

- Download an Excel file of last year's submitted data; update the file and then upload directly to the Web form.
- Upload an Excel/CSV file directly to the Web form.
- Transfer last year's data submission to the Web form, and update and add records online.
- Enter Participant data directly into the Web form.

Section II - Record Structure for Individual Participants
Getting Started

Section II - The UB/UBMS online application provides four options for starting the data submission process:

- Download an Excel file of last year's submitted data; update the file and then upload directly to the Web form.
- Upload an Excel/CSV file directly to the Web form.
- Transfer last year's data submission to the Web form and update and add records online.
- Enter Participant data directly into the Web form.

Please be advised that for security reasons, when downloading your file, we will not include your participants' social security numbers (SSN). Therefore, you should provide your participants' SSNs when uploading the file, as this is the primary identifier used to match participant records across project years.

If you are unable to prepare an Excel (or CSV) file using your existing database, you have the option of transferring last year's data directly into the Web form or entering participant data directly into the Web form.

5.2.1 Download last year's submitted data

You can download last year's participant data in an Excel file, modify it on your desktop, and later upload it to the site**.** If you did not keep a copy of your 2009-10 submission or if the department has notified you that your 2009-10 APR has been amended, you should download this file.

If you choose to download, please note that the download feature does not include the social security numbers (SSNs) of your participants, even though the file you provided us contained this information. This change was made to better protect the personal information contained on the data file and prevent inadvertent misuse of information provided by the Department. However, *the participant data file you prepare for the 20010–11 APR should include the SSNs of all participants*, as this is the primary identifier used to match participant records across project years.

Also, the data from last year's file for certain fields that need to be updated each year will not be on the Excel file you download. You will need to complete these data fields with information from your 2010-11 project year. In the general instructions, please see pages 7-8 for a list of fields that should not change from year to year unless you have discovered that erroneous data had been entered in the past. Note that identifying data (that is, SSN in field #4, last name in #5, first name in #6, and data of birth in #8) for all but new participants must match the data in your 2009–10 APR, even if you have discovered that last year's data contained errors or misspellings.

To download last year's data file, click on the "***Download Data***" button. A file name will display as a blue hyperlink.

To save the file to your desktop:

- Right click your mouse and select the "***Save Target As***" option. Identify a folder on your desktop (e.g., My Documents) to save the file. You may then open the file on your desktop with Excel.

Or

- Click on the file name hyperlink to open it, and save it to your desktop.

After downloading the file, you can update the Excel file or import the data into a database application such as MS Access. Follow the ***Instructions for Completing the UB/UBMS Annual Performance Report for 2010-11*** to update the prior year's data and add records for new 2010-11 participants.

As noted above, for security reasons, we do not include participant social security number (SSNs) in the data file. You will need to add these to the file before uploading it.

When you have made all necessary modifications and saved the file as an Excel spreadsheet or a comma-delimited CSV file, return to this page, and follow the instructions to "***Upload an Excel File to the Web Data Entry Form***".

Download Last Year's Data to an Excel File

You may obtain last year's data in an Excel spreadsheet for editing on your desktop. If you did not keep a copy of your 2009-10 submission or if the Department has notified you that your 2009-10 APR has been amended, you should download this file. The download file includes the data from 2009-10 that generally remains accurate for the 2010-11 file, though you must update some fields for most of the student records. Please see pages 7–8 of the general instructions for lists of fields that typically are or are not in need of updates. You would also need to add records for new participants served in 2010-11. The download file can be updated offline using Excel or by import into another database (e.g., Access).

As noted above, please be advised that for security reasons, when downloading your file, we will not include your participants' social security numbers (SSN). Therefore, you should provide your participants' SSNs when uploading the file, as this is the primary identifier used to match participant records across project years.

Once you have completed the participant data file you must save the file as an Excel spreadsheet or a comma delimited format with **"csv"** extension, then upload the file using the "Upload an Excel File to the Web Data Entry Form" function.

By clicking on the "Download Data" button the system will generate the participants' data file from last year and this screen will be refreshed to show a link to this data file.

Download Data

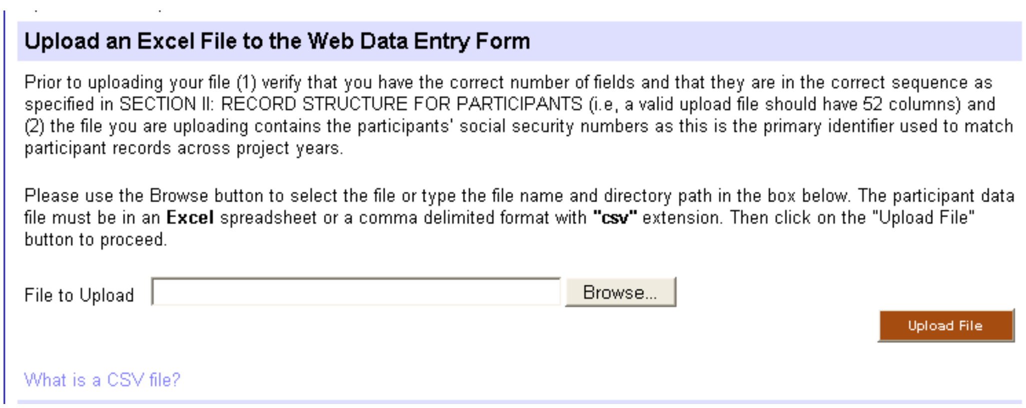
5.2.2 Upload an Excel file to the Web Data Entry Form.

This option lets you upload the 2009-10 file in an Excel spreadsheet format or as a CSV file (comma-delimited text file). Most databases can covert a file to either CSV or Excel format. For instructions on creating a CSV file, click the ***What is a CSV file?*** hyperlink. Before uploading your participant data file, verify that:

- The file is either an Excel spreadsheet or a comma-delimited CSV file;
- You have the correct number of fields (52) and they are in the sequence specified in ***Section II - Individual Record Structure***;
- If your file is an Excel spreadsheet, it should use the column names identified in ***Section II - Individual Record Structure***; and
- The file contains the participants' social security numbers. (SSN is the primary identifier we use to match participant records across project years.)

Use the "***Browse"*** button to select the file, or type the file name and directory path. Click on the "***Upload File***" button to proceed.

If your file is formatted correctly, you may proceed to the ***Review Participant List and Data Error Report (Table View)*** page; otherwise, the system will display the errors it has detected with your file format, and provide instructions for correcting them. See Section 5.5 for sample errors



Upload an Excel File to the Web Data Entry Form

Prior to uploading your file (1) verify that you have the correct number of fields and that they are in the correct sequence as specified in SECTION II: RECORD STRUCTURE FOR PARTICIPANTS (i.e, a valid upload file should have 52 columns) and (2) the file you are uploading contains the participants' social security numbers as this is the primary identifier used to match participant records across project years.

Please use the Browse button to select the file or type the file name and directory path in the box below. The participant data file must be in an **Excel** spreadsheet or a comma delimited format with **"csv"** extension. Then click on the "Upload File" button to proceed.

File to Upload [ ] Browse...

Upload File

What is a CSV file?

If you are unable to provide an Excel or CSV file, you may elect to:

5.2.3 Transfer last year's submitted data directly into the on-line form.

To transfer the 2009-10 participant data that you successfully submitted last year to the on-line data entry form, click on the "***Transfer Data***" button. On the ***Review Participant List and Data Error Report (Table View)*** page, you can edit data for prior participants and add new ones.

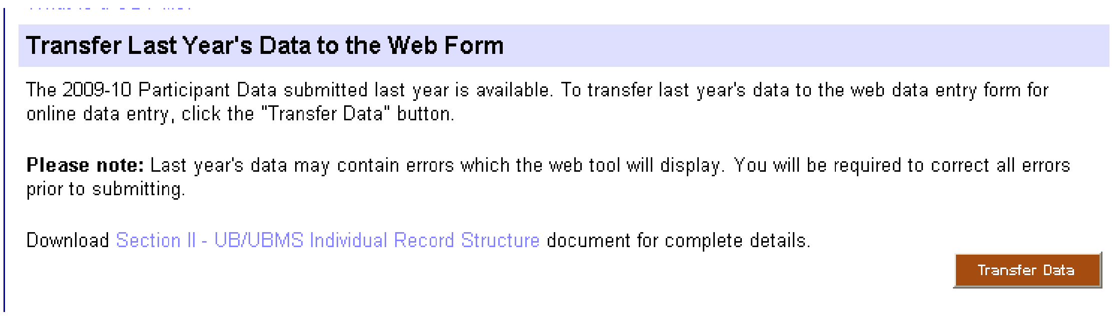
Note: If you choose to transfer last year's data directly to the Web form, the data from last year's file for certain fields that need to be updated each year will not transfer to the Web form. You will need to complete these data fields with information from your 2010–

11 project year. In the general instructions, please see pages 7–8 for a list of fields that should not change from year to year unless you have discovered that erroneous data had been entered in the past. Note that identifying data (that is, SSN in field #4, last name in #5, first name in #6, and data of birth in #8) for all but new participants must match the data in your 2009–10 APR, even if you have discovered that last year's data contained errors or misspellings.

You will need to provide missing information and correct all errors before submitting.

Download Section II – UB/UBMS Individual Record Structure for complete details.

The Transfer Data option is not available for new grantees.



Transfer Last Year's Data to the Web Form

The 2009-10 Participant Data submitted last year is available. To transfer last year's data to the web data entry form for online data entry, click the "Transfer Data" button.

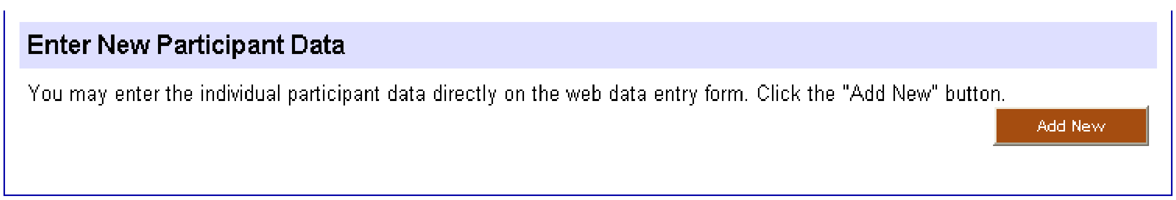
Please note: Last year's data may contain errors which the web tool will display. You will be required to correct all errors prior to submitting.

Download Section II - UB/UBMS Individual Record Structure document for complete details.

Transfer Data

Click the "***Add New***" button to enter the data for each participant directly into the form.

Enter new participant data directly into the on-line form.



Enter New Participant Data

You may enter the individual participant data directly on the web data entry form. Click the "Add New" button.

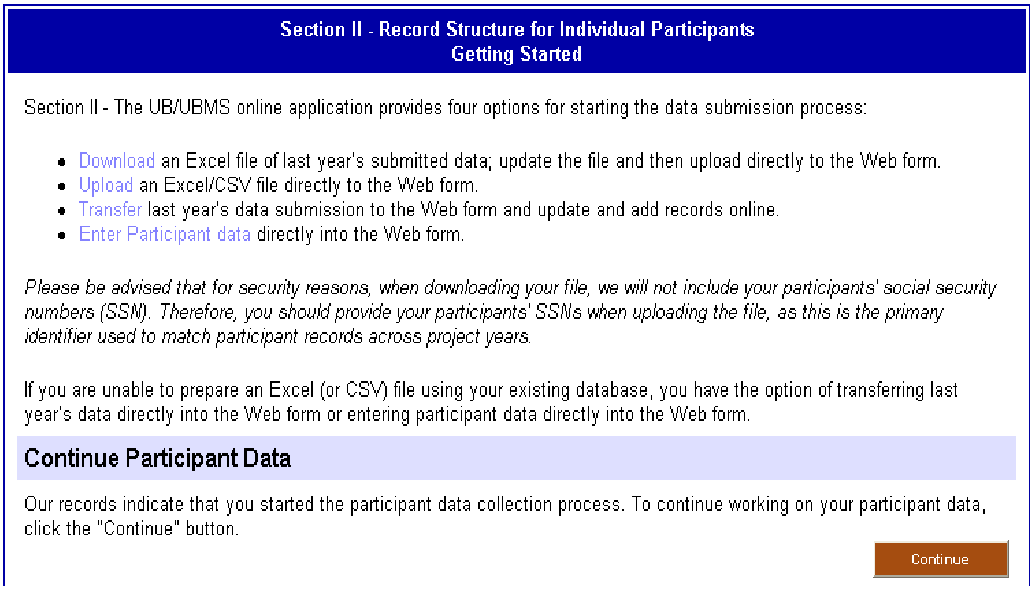
Add New

5.2.4 The "Continue" button

Whether you choose to upload, transfer, or enter data directly, you may save data without submitting and come back to it later.

The system detects whether you have begun the data collection process and provides the option to continue entering/updating participant date on-line. The "***Continue"*** button will not display until you have already uploaded, entered, or transferred data, exited the system and logged back in.

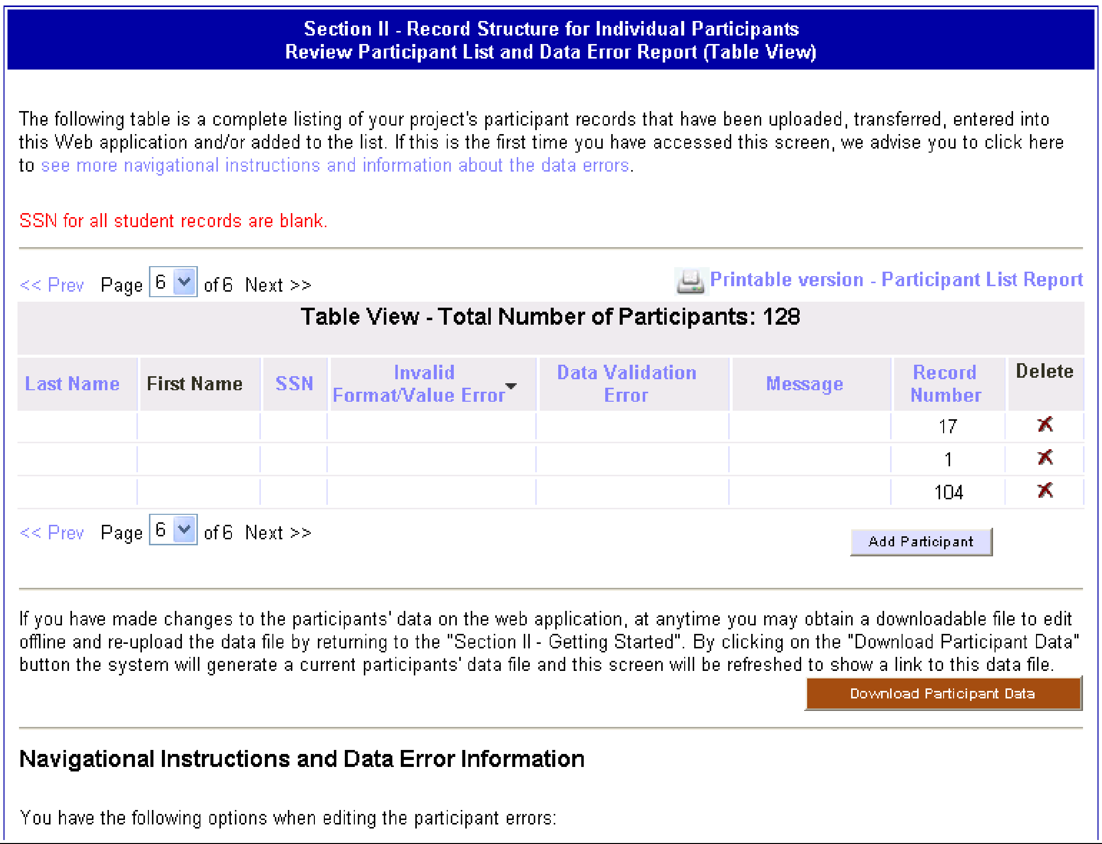
After clicking on the "***Getting Started***" button on the main Section II page, you can choose to continue with your data, or select one of the other options.



5.3 Review Participant List and Data Error Report (table view)

If you selected the ***Continue***, ***Upload***, or ***Transfer*** option on the ***Getting Started*** page, you will proceed to the ***Table View*** page shown below. This page lists the participants in the file, the total number of participants in the file, any formatting or value errors, and any data validation errors, and provides a printable report of those errors.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.



- If you uploaded or transferred your file, you may obtain last year's data and/or edit your data offline and re-upload the data file by returning to "Section II - Getting Started".
- To identify the participant records with errors, you will need to scroll through several Web pages (each page displays 25 records). Or you may click on the "printable version" hyperlink to print the entire report.

Or you may edit the data directly on the Web application:

- You may click the Last Name hyperlink to edit participant data or correct data errors.
- You may click the "" image in the "Delete" column to delete a participant data record.
- You may click the "Add Participant" button to add a new participant data record.
- You may sort by Last Name, SSN, Invalid Value/Validation Error, Data Validation Error, Soft Check Validation Error, or Record Number by clicking on the column title hyperlinks.

If you have a large number of participant records with errors, we recommend correcting the data offline and uploading a corrected file.

This report also displays three types of errors: (1) invalid data format/values, (2) data validation errors, and (3) soft check validation error. You must correct all the data errors in (1) invalid data format/values and (2) data validation errors before you will be able to submit the APR.

- An invalid format/value error is when the data field(s) for the participant record includes a value(s) other than one of the "Valid Field Content" options provided in column 4 of Section II. To correct these types of errors online, you may click on the Last Name hyperlink and then enter a valid option in the identified data field(s).
- A data validation error identifies data fields that are in conflict with data you provided in another data field. By clicking on the Last Name hyperlink, you will see an error message that explains the error. You may then correct the data online.
- A soft check validation error is similar to data validation error, but the system does not require you to correct the error before APR submission.

If you uploaded participant data, the Record Number column will display the record numbers in your upload file for each individual participant record. The record numbers will help you to find the records with errors easily if you want to correct errors offline.

Back to Top

The ***Table View*** page displays up to 25 records. To view additional students, click on the ***Prev*** or ***Next*** links displayed above and below the table.

Records are sorted by data validation error. Click on another column heading to sort by that column.

To view a participant's record, click the ***Last Name*** hyperlink. This will direct you to the Web form where you can enter information for the participant.

To delete a participant record, click the “” image in the “***Delete***” column for the participant.

To add a participant record, click on the “***Add Participant***” button below the table. This will direct you to the Web form where you can enter information for the participant. See Section 5.4 of this document for further instructions about the participant data Web form.

To generate a printable report of the errors on the file, click on the ***Printable Version – Participant List Report*** link above the table.

The table view displays three types of errors:

- invalid data format/values;
- cross validation errors; and
- soft check validation errors.

You must correct all invalid data and cross validation errors before you can submit the APR. The number in the "Error Description" column represents the field in error.

- An invalid format/value error occurs when a data field includes a value that is not a valid response for the question. To correct this type of error online, click on the ***Last Name*** hyperlink and select a valid option or enter text, if applicable, in the identified data field.
- A cross validation error occurs when the value in one field conflicts with the value in another field. Click on the ***Last Name*** hyperlink to see a message explaining the error. This message will appear in red below the participant's SSN. You may then correct the data online.
- Soft check validation errors, which begin with the word "Message", provide important reminders, but do not require you to make any changes in your data.

If there are several participant records with errors, you may choose to correct the data offline and to later upload the corrected file. To download the file, which will include any updates you have saved, click on the "***Download Participant Data***" button under the participant list. After editing the data offline, return to ***Section II – Getting Started*** to upload the revised file. See **Section 5.5** for instructions on uploading a file.

If you are viewing the page for the first time, click on the ***See more navigational instructions and information about data errors*** hyperlink at the top of the page. This link will provide additional information about navigating the site. Click on the ***Back to Top*** hyperlink to return to the top of the page and edit participant records.

5.4 Participant Data Form

To access the online participant data entry page, which displays data about each individual student:

From the ***Section II*** - ***Getting Started*** page:

- Click on the "***Add New"*** button; or
- Transfer or upload data, or click on the "***Continue"*** button; on the **Section III - Getting Started** tab.

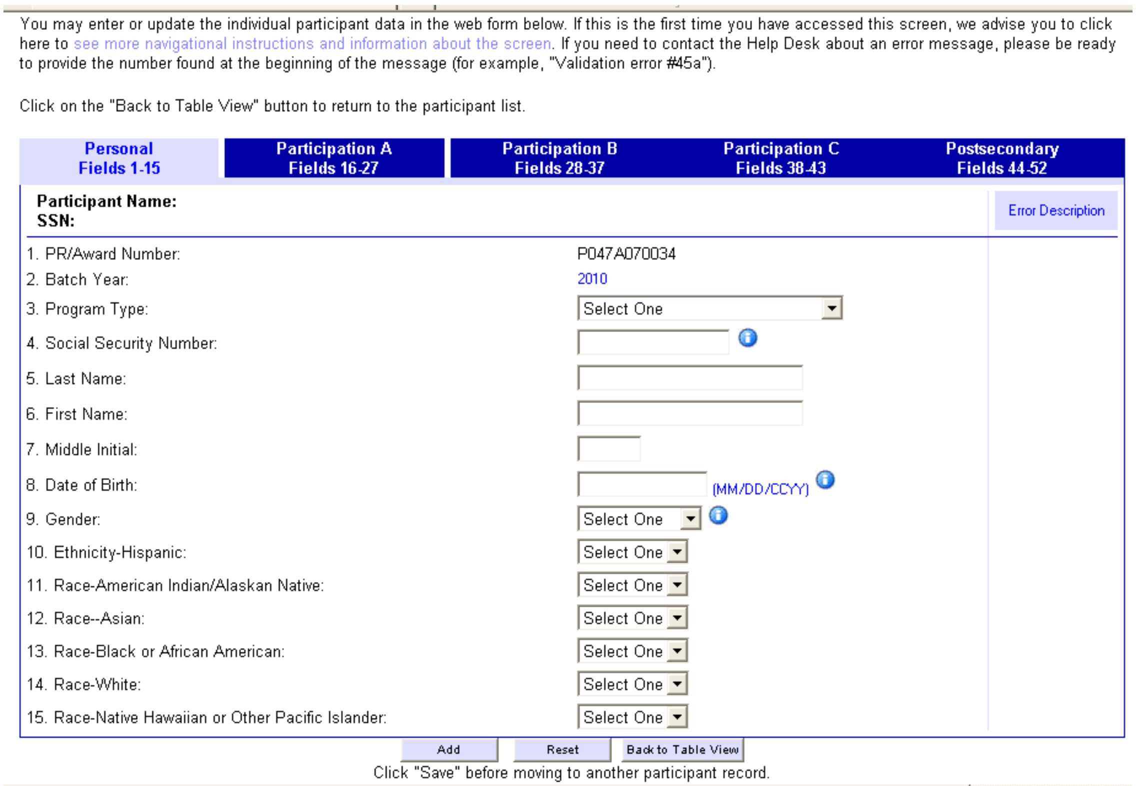
From the ***Table View*** page:

- Click on the ***Last Name*** hyperlink for a participant.

For most data fields on the participant data form tabs, dropdown menus will display valid field content. Clicking on the blue "information" icons that are found next to many fields will produce a pop-up box displaying valid options and instructions from the data structure as it appears on the TRIO Web pages. When you are finished with a box, you must click on the "x" to make it disappear before you can pop up another one.

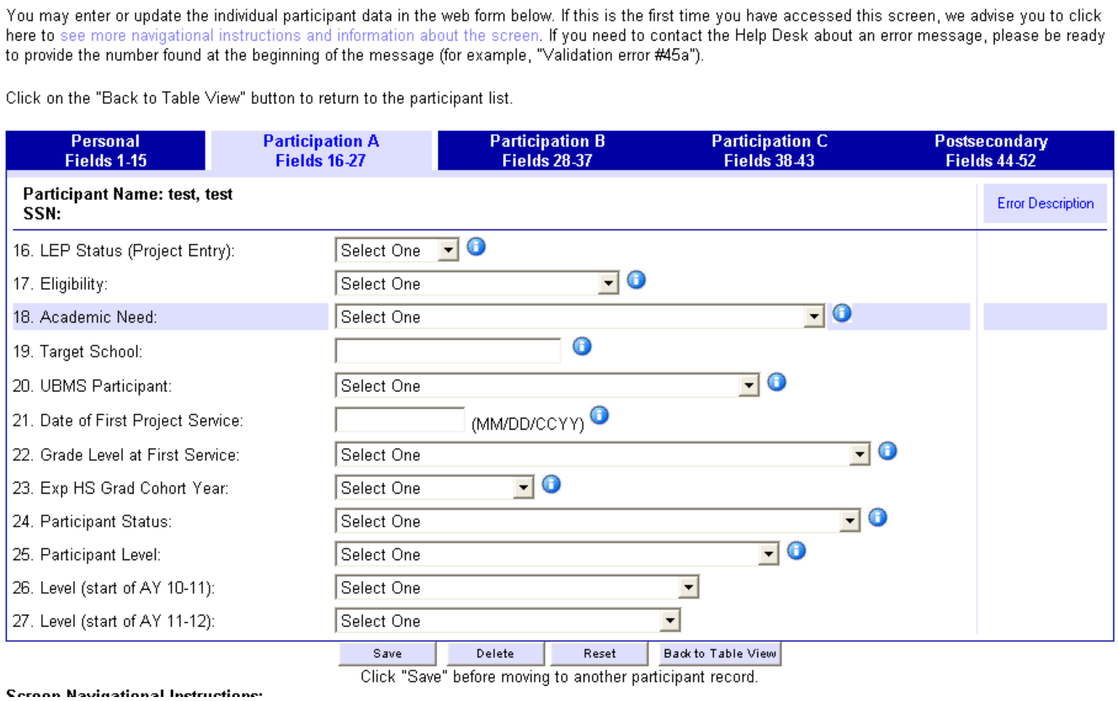
5.4.1 Personal Tab

Enter or update fields 1 through 15. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next*** **>>** link or the "***Back to table view"*** button.



5.4.2 Participation A Tab

Enter or update fields 16 through 27. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to “***Save***”, “***Delete***”, “***Reset***”, or go “***Back to Table View***”. To move to the next student, click the “***Save”*** button before clicking the ***Next >>*** link or the “***Back to table view”*** button.



You may enter or update the individual participant data in the web form below. If this is the first time you have accessed this screen, we advise you to click here to see more navigational instructions and information about the screen. If you need to contact the Help Desk about an error message, please be ready to provide the number found at the beginning of the message (for example, "Validation error #45a").

Click on the "Back to Table View" button to return to the participant list.

Personal Fields 1-15	Participation A Fields 16-27	Participation B Fields 28-37	Participation C Fields 38-43	Postsecondary Fields 44-52

Participant Name: test, test
SSN:

Error Description

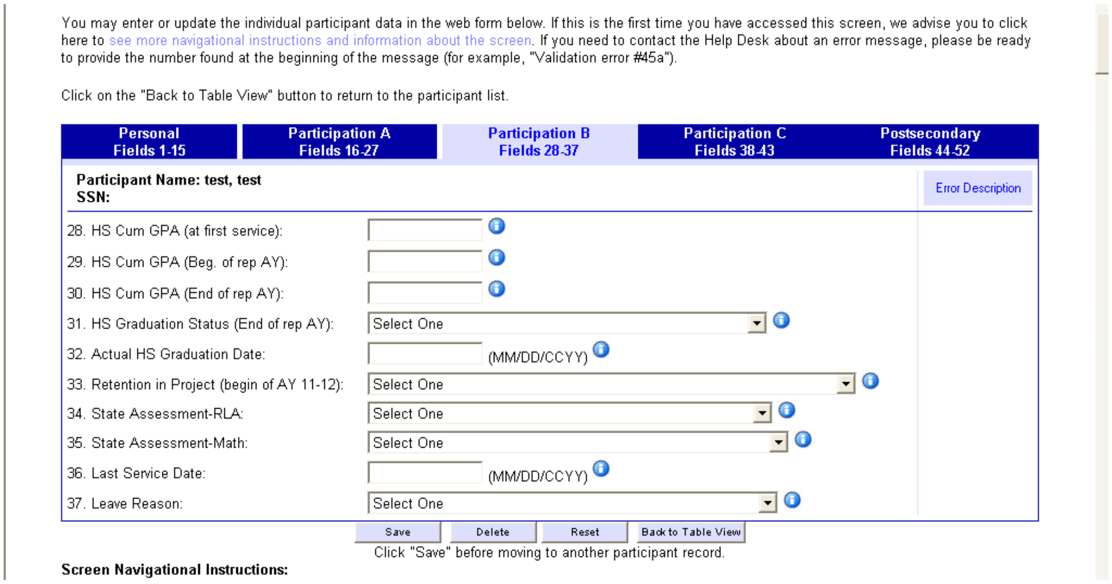
16. LEP Status (Project Entry):	Select One
17. Eligibility:	Select One
18. Academic Need:	Select One
19. Target School:	
20. UBMS Participant:	Select One
21. Date of First Project Service:	(MM/DD/CCYY)
22. Grade Level at First Service:	Select One
23. Exp HS Grad Cohort Year:	Select One
24. Participant Status:	Select One
25. Participant Level:	Select One
26. Level (start of AY 10-11):	Select One
27. Level (start of AY 11-12):	Select One

Save | Delete | Reset | Back to Table View

Click "Save" before moving to another participant record.

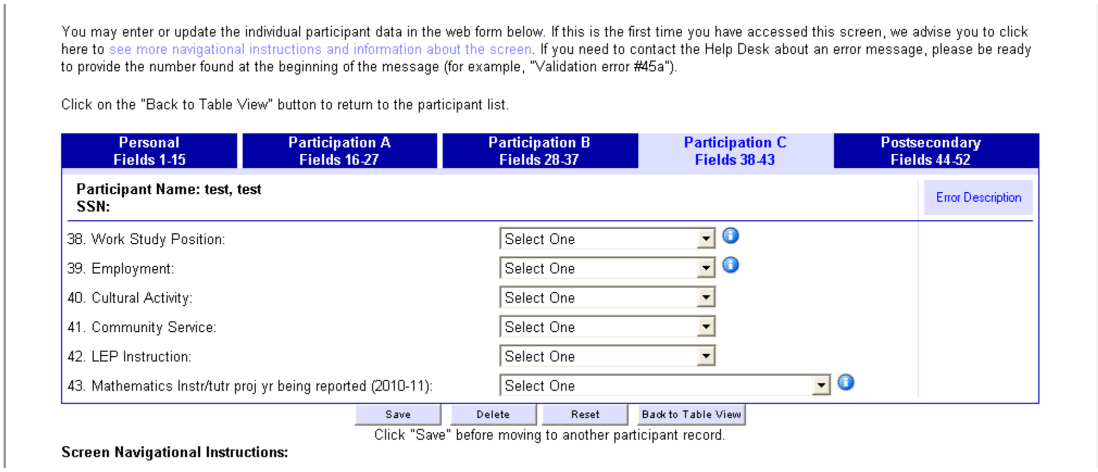
5.4.3 Participation B Tab

Enter or update fields 28 through 37. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to “***Save***”, “***Delete***”, “***Reset***”, or go “***Back to table view***”. To move to the next student, click the “***Save”*** button before clicking the ***Next >>*** link or the “***Back to table view”*** button.



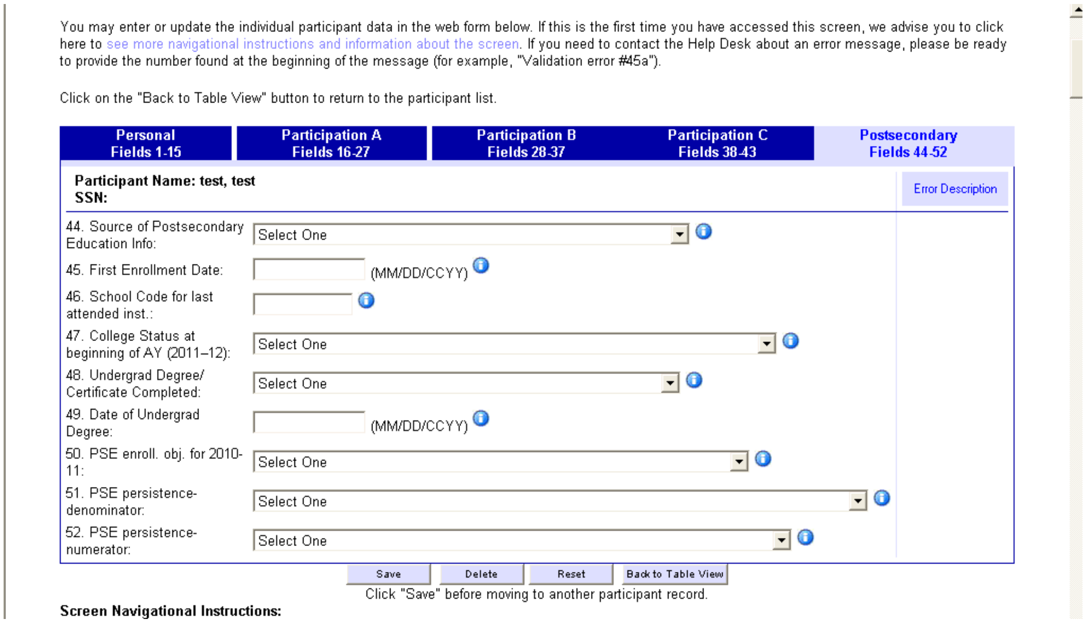
5.4.4 Participation C Tab

Enter or update fields 38 through 43. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next*** >> link or the "***Back to table view"*** button.



5.4.5 Postsecondary Tab

Enter or update fields 44 through 52. Error descriptions and imported/transferred values appear on the right, where applicable. Use the buttons at the bottom to "***Save***", "***Delete***", "***Reset***", or go "***Back to table view***". To move to the next student, click the "***Save"*** button before clicking the ***Next*** >> link or the "***Back to table view"*** button.



5.4.6 Screen Navigation Instructions:

Screen Navigational Instructions:

The participant data has been divided into four sections/tabs - Personal, Participation A, Participation B, Participation C and Postsecondary. The web form displays the participant's name and social security number on the left side of the screen, below the tabs.

- To navigate through the sections and view the data provided in each section, click on the Personal, Participation A, Participation B, Participation C, and Postsecondary tabs.
- To make changes to any field for a participant, use the pull-down menus provided, or enter text as appropriate (e.g., Last Name).
- To save changes, click on the "Save" button or click on another tab.
- To delete a record, click on the "Delete" button.
- To reset the data after you have already made changes, but have not saved, click on the "Reset" button.
- To advance to another participant's record, click on the "Next" or "Previous" link. You may also use the pull-down menu to select a record. Please note that you must click on the "Save" button before advancing to the "Next" or "Previous" record.

Error Descriptions:

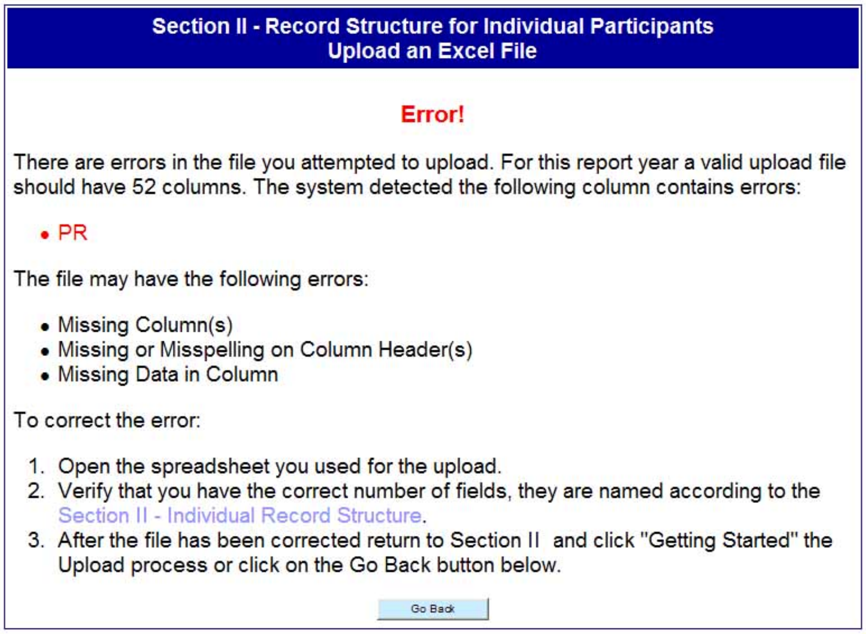
The web form provides three types of error descriptions for the individual: (1) invalid data format/values; (2) data validation errors, and (3) soft check validation error. The invalid data format/value appear in the "Error Description" column. The data validation errors appear at the top of the screen in red. To correct these errors, grantees should choose a valid value from the pull-down menu, enter data where applicable, or update their file offline. For further instructions on how to update your file offline, click on the Back to Table View button, then select the "see more navigational instructions and information about the data errors" hyperlink.

The original value, if applicable, will be displayed in the "Transferred or Imported Value" column.

5.5 Unsuccessful upload of Excel file

If the system detects errors in your uploaded Excel file, it will display an error message and instructions for correcting the error(s). Samples of typical errors are illustrated below.

5.5.1 Incorrect Number of Columns



Section II - Record Structure for Individual Participants
Upload an Excel File

Error!

There are errors in the file you attempted to upload. For this report year a valid upload file should have 52 columns. The system detected the following column contains errors:

- PR

The file may have the following errors:

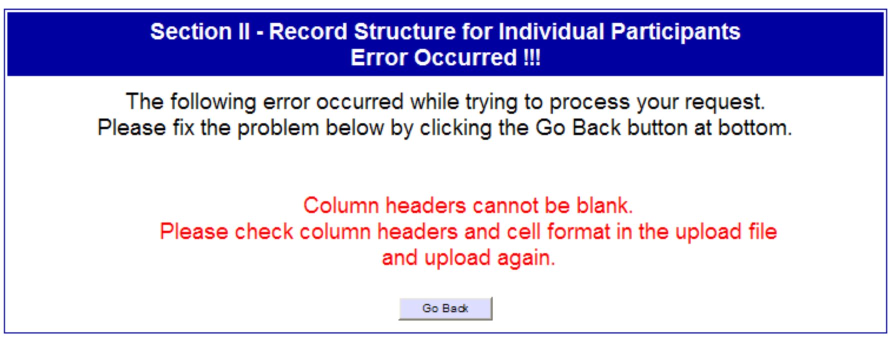
- Missing Column(s)
- Missing or Misspelling on Column Header(s)
- Missing Data in Column

To correct the error:

1. Open the spreadsheet you used for the upload.
2. Verify that you have the correct number of fields, they are named according to the Section II - Individual Record Structure.
3. After the file has been corrected return to Section II and click "Getting Started" the Upload process or click on the Go Back button below.

Go Back

5.5.2 Error due to empty file



Section II - Record Structure for Individual Participants
Error Occurred !!!

The following error occurred while trying to process your request.
Please fix the problem below by clicking the Go Back button at bottom.

Column headers cannot be blank.
Please check column headers and cell format in the upload file and upload again.

Go Back

5.6 Unsuccessful Upload of CSV Files

If the system detects errors in your uploaded CSV file, it will display an error message and instructions for correcting the error(s). Samples of typical errors are shown below.

5.6.1 Incorrect Number of Columns

Section II - Record Structure for Individual Participants

Error!

The column names in the file you attempted to upload were either missing, misspelling, or not in the correct order. See the error report below for detail(s). To correct the error (s):

1. Open the spreadsheet you used for the upload.
2. Verify that the column names are correct and in the sequence specified in Section II - Individual Record Structure.
3. After the file has been corrected return to Section II and click "Getting Started" the Upload process or click on the Go Back button below.

Error Report

	Expected Column Name	Column Name in Upload File	Error Fields
1	PR	PR number	Error
2	BatchAY	BatchAY	
3	Type	Type	
4	SSN	SSN	
5	LastNM	LastNM	
6	FirstNM	FirstNM	
7	MI	MI	
8	DOB	DOB	
9	GenderCD	GenderCD	
10	Ethnic	Ethnic	
11	Race1	Race1	
12	Race2	Race2	
13	Race3	Race3	
14	Race4	Race4	
15	Race5	Race5	
16	LEPEntry	LEPEntry	
17	EligibilityCD	EligibilityCD	
18	NeedCD1	NeedCD1	
19	NCESSchID	NCESSchID	
20	UBMSPart	UBMSPart	
21	ProjEntryDT	ProjEntryDT	
22	EnterGradeLV	EnterGradeLV	
23	ExpHSGradCohort	ExpHSGradCohort	
24	PartCD	PartCD	
25	PartLV	PartLV	
26	StartGradeLV	StartGradeLV	
27	EndGradeLV	EndGradeLV	
28	CumGPAEntry	CumGPAEntry	
29	HSGPA1	HSGPA1	
30	HSGPA2	HSGPA2	
31	HsGRAD	HsGRAD	
32	HsgradDT	HsgradDT	
33	ProjRetain	ProjRetain	
34	HSProficientRLA	HSProficientRLA	
35	HSProficientMATH	HSProficientMATH	
36	LastSerDT	LastSerDT	
37	Reason	Reason	
38	WorkStd	WorkStd	
39	Employ	Employ	
40	CultAct	CultAct	
41	CmtySer	CmtySer	
42	LEPInstruct	LEPInstruct	
43	MathAcad	MathAcad	
44	SelfTranCD	SelfTranCD	
45	FirstEnrollDT	PSECDFE	Error
46	PSECDFE	PSEGradeLV	Error
47	PSEGradeLV	DegreeCD	Error
48	DegreeCD	DegreeDT	Error
49	DegreeDT	PSEEnrollObj	Error
50	PSEEnrollObj	PSEPersistDenom	Error
51	PSEPersistDenom	PSEPersistNum	Error
52	PSEPersistNum		Error

Go Back

5.6.2 Invalid PR Number

Section II - Record Structure for Individual Participants
Error Occurred !!!

The following error occurred while trying to process your request.
Please fix the problem below by clicking the Go Back button at bottom.

The PRNO in your upload file is P247A080149. This is an invalid PRNO.
The PRNO for your institution should be P047A080149.
Please update the upload file and try again.

Go Back

5.6.3 Column Name Missing or Misspelled, or Column Out of Order

Section II - Record Structure for Individual Participants

Error!

The column names in the file you attempted to upload were either missing, misspelling, or not in the correct order. See the error report below for detail(s). To correct the error (s):

1. Open the spreadsheet you used for the upload.
2. Verify that the column names are correct and in the sequence specified in Section II - Individual Record Structure.
3. After the file has been corrected return to Section II and click "Getting Started" the Upload process or click on the Go Back button below.

Error Report

	Expected Column Name	Column Name in Upload File	Error Fields
1	PR	PR	Error
2	BatchAY	BatchAY	
3	Type	Type	
4	SSN	LastNM	Error
5	LastNM	FirstNM	Error
6	FirstNM	MI	Error
7	MI	DOB	Error
8	DOB	GenderCD	Error
9	GenderCD	Ethnic	Error
10	Ethnic	Race1	Error
11	Race1	Race2	Error
12	Race2	Race3	Error
13	Race3	Race4	Error
14	Race4	Race5	Error
15	Race5	LEPEntry	Error
16	LEPEntry	EligibilityCD	Error
17	EligibilityCD	NeedCD1	Error
18	NeedCD1	NCESSchID	Error
19	NCESSchID	UBMSPart	Error
20	UBMSPart	ProjEntryDT	Error

21	ProjEntryDT	EnterGradeLV	Error
22	EnterGradeLV	ExpHSGradCohort	Error
23	ExpHSGradCohort	PartCD	Error
24	PartCD	PartLV	Error
25	PartLV	StartGradeLV	Error
26	StartGradeLV	EndGradeLV	Error
27	EndGradeLV	CumGPAEntry	Error
28	CumGPAEntry	HSGPA1	Error
29	HSGPA1	HSGPA2	Error
30	HSGPA2	HsGRAD	Error
31	HsGRAD	HsgradDT	Error
32	HsgradDT	ProjRetain	Error
33	ProjRetain	HSProficientRLA	Error
34	HSProficientRLA	HSProficientMATH	Error
35	HSProficientMATH	LastSerDT	Error
36	LastSerDT	Reason	Error
37	Reason	WorkStd	Error
38	WorkStd	Employ	Error
39	Employ	CultAct	Error
40	CultAct	CmtySer	Error
41	CmtySer	LEPInstruct	Error
42	LEPInstruct	MathAcad	Error
43	MathAcad	SelfTranCD	Error
44	SelfTranCD	PSECDFE	Error
45	FirstEnrollDT	PSEGradeLV	Error
46	PSECDFE	DegreeCD	Error
47	PSEGradeLV	DegreeDT	Error
48	DegreeCD	PSEEnrollObj	Error
49	DegreeDT	PSEPersistDenom	Error
50	PSEEnrollObj	PSEPersistNum	Error
51	PSEPersistDenom		Error
52	PSEPersistNum		Error

Go Back

5.6.4 Invalid Batch Year

Section II - Record Structure for Individual Participants
Error Occurred !!!

The following error occurred while trying to process your request.
Please fix the problem below by clicking the Go Back button at bottom.

One or more records in your file contain an incorrect batch year.
The BatchAY for this reporting year should be 2010.
Please update the upload file and try again.

Go Back

5.7 Successful Transfer or Upload – Table View Page

After a successful upload of your participant data file, if there are no errors displayed on the ***Table View*** page, proceed to "***Review and Submit***".

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

The following table is a complete listing of your project's participant records that have been uploaded, transferred, entered into this Web application and/or added to the list. If this is the first time you have accessed this screen, we advise you to click here to see more navigational instructions and information about the data errors.

SSN for all student records are blank.

Printable version - Participant List Report

Table View - Total Number of Participants: 9

Last Name	First Name	SSN	Invalid Format/Value Error	Data Validation Error	Message	Record Number	Delete
	Brandon					2	x
	Karla					4	x
	Gary					6	x
	Mona					8	x
	Teresa					7	x
	Emmy					3	x
	Bernadett					1	x
	Filiberto					5	x
	Max					9	x

Add Participant

6 Section III: Review and Submit (Tier 1)

6.1 Review and Submit Main Page:

Access this page by clicking the "***Review & Submit***" tab on top.

This page describes the two-tier validation process. Read the description and click the "***Start Submission***" button.

Review and Submit
Start Submission

The Review and Submit section will guide you through the submission process. Your APR is not considered submitted until you have completed the entire process that includes a two-tiered system for evaluating the quality of the participant data.

The first tier data checks include the following:

- **Funded Rate and Eligibility Status Table and Reports.** The Funded/Served Rate report compares the number of current year participant records on the data file with the number of participants the grantee was approved to serve in 2010-11 and provides information on the eligibility status of current participants. The table will provide the following information:

  o The number and percent of participants funded to serve and actually served.

  o The total number and percent of participants who are first-generation and low-income.

  If your funded rate is below 100%, you will be asked to review the data file to determine if you correctly updated the participant status field and/or included records for all participants served in 2010-11.

  If your two-thirds eligibility rate is below 66%, we recommend you review the eligibility status field to ensure you entered the correct status for each participant.

  You will be given an opportunity to review the data and make the necessary changes to your data file if you did not meet the program requirements listed above. Note: If you determine that the data file is correct, you will be asked to provide an explanation for the ***low funded rate only***. No explanation is needed for the eligibility rates.

- **Critical Fields report.** Provides a percentage of participant records with "unknown/no response" for 13 data fields that we have determined are critical for analyzing project and program outcomes. Since "unknown/no response" do not provide usable information for data analysis, we are asking you to review fields for which 10% or more of the records have "unknown/no response" and either correct (or update) the data or provide an explanation as to why the data are not available.

If your data file passes the first tier data checks, you may submit the APR. However, please note that your APR will not be accepted until the participant data also passes the second tier data checks.
After the initial submission of the APR, the second tier data checks compare the 2010-11 participant data with the participant data submitted in prior years (that is, the UB system of records). If this is your first year of funding or you have not submitted an acceptable participant data file in prior years, you are excluded from these data quality checks.

The second tier data checks include the following:

- **New Participants Verification report.** Compares the participants listed as "new" on the 2010-11 APR with those listed as "new" on the 2009-10 APR. Those participants listed as "new" in both years are displayed. You must update the student records accordingly or provide an explanation for the apparent conflict.
- **Match to Prior report.** Compares the participants on the 2010-11 APR with the UB system of records for your project to ensure that you have included all participants on the 2010-11 file where the expected high school graduation cohort year (field #23) is 2008 or later. Those participants from the UB system of records not included on the 2010-11 file whose graduation cohort year is 2008 or later are displayed on the screen. You must add all the student records on this report to the 2010-11 file and update the data fields for these participants.
- **Expected High School Graduation Cohort Year report.** The Web application runs this report after you add and update any student records required by the Match to Prior report; those students then become part of the 2010-11 file. This report compares the data provided in field #23 (graduation cohort year) of the 2010-11 file with the UB system of records for your project. Those participants on the 2010-11 data file whose graduation cohort year (field #23) is different from the UB system of records are displayed on the screen. You must use the functionality in the cohort year report to change your data to match the UB system of records for each participant's record on the report.

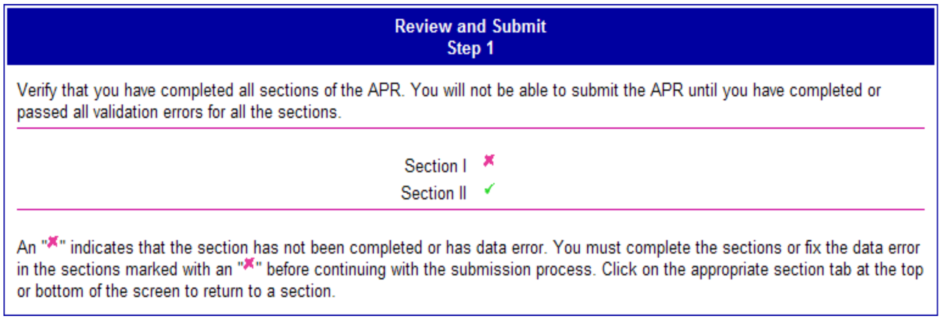
If your participant data file does not meet the Tier 2 criteria, you will be provided with reports and instructions for resubmission. A one-week extension to revise and upload your data will be granted. It is important that you review your APR for accuracy. You will not be allowed to access the APR once your report is submitted. You must contact the Department of Education for any modifications. You will receive an e-mail message confirming the submission of your APR.

Click the "Start Submission" button to begin.

Start Submission

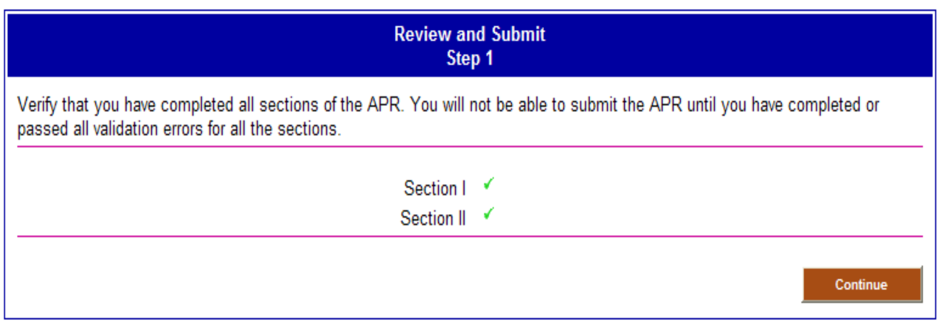
6.1.1 Review and Submit - Step 1: (With Errors)

If there are any sections of the APR that you have not completed, they will display with an "X" on this page. You must complete any section marked with an "X" before you continue.



6.1.2 Review and Submit - Step 1: (no Errors)

When you submit with all sections of the APR complete, the following page will display. Click on the "***Continue***" button.



6.2 Review and Submit - Step 2

The Funded/Served Rate report includes a comparison on the number of current participant records with the number of participants the grantee was approved to serve in 2010-11 but also to provide information on the eligibility status of current participants (that is, participants who are first-generation and/or low-income). If your funded rate is below 100%, you will be asked to review certain aspects of your data, as described on the page below. An explanation is no longer necessary unless the grantee does not meet 100% funded.

6.2.1 Funded Rate and Eligibility Status Report (Outside Range)

If the percentage of students participating in the project is less than 100%, you may correct a student's status by clicking on his or her name, or submit an explanation in the box provided.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students and will display 20 records at a time.

Review and Submit

Step 2 - Funded Rate and Eligibility Status Table and Current Participants and Eligibility Status Report

2010-11 Funded Rate and Eligibility Table

The table below provides information on: (a) the number of participants funded to serve and served and (b) the percent of participants served who were both low-income and first-generation.

The information provided in the section **"Number of Participants Funded to Serve & Served"** is based on serving at least as many participants (i.e., 100% or more) as the project was funded to serve.

The information provided in the section **"2/3 Eligibility Requirement: First-generation and low-income"** is based on the project meeting the two-thirds eligibility requirement (i.e., 66% or greater). To determine whether your project met this requirement, the column: "Number first-generation and low-income" was divided by the column: "Number of Current Participants Served."

Please review the information contained in the table below. If your project did not meet the requirements mentioned above, please verify that the participant and eligibility status codes for each current participant for whom you provided information are correct. Your "current participants" are coded in field #24 as a 1, 2, 3, 6 and 7. Only current participants coded 1 (low-income and first-generation) in field #17 are reflected in the column "Number of first-generation and low-income."

Funded Rate and Eligibility Status Table

Number of Participants Funded to Serve & Served			2/3 Eligibility Requirement: First-generation and low-income	
Number Funded to Serve	Number of Current Participants Served	Percent Served	Number of first-generation and low-income	2/3 Eligibility Percent
105	103	98%	80	78%

2010-11 Current Participants and Eligibility Status Report

The report below provides a list of your new, continuing, reentry, transfer, and new after the beginning of the 2009-10 academic year participants who received project services (1, 2, 3, 6, and 7) along with the participant's eligibility status.

1. Your current participants are derived from field #24 and are coded as follows:
   1 = New participant, for reporting period
   2 = Continuing participant
   3 = Reentry participant, previously served by project submitting report
   6 = Transfer participant in reporting year
   7 = New participant served for the first time after the beginning of the 2011-12 academic year (only for projects with December 1, 2007, starts)

2. The eligibility status codes are derived from field #17 and are:
   1 = Low-Income and First-Generation
   2 = Low-income only
   3 = First-generation only
   4 = Other
   0 = Unknown

Please review the information carefully and

- verify that the participant and eligibility status codes are correct.
- verify that all students reported as current participants (1, 2, 3, 6, and 7) were actually served during this reporting period.
- verify that you correctly updated the participant status field for all participants served in a previous reporting period.
- provide an explanation if you did not meet the number of participants funded to serve.

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Current Participants and Eligibility Status Report for 2010-11

Participant's Name	Participant Status Code	Eligibility Status Code
1	2 = Continuing participant	1 = Low-Income and First-Generation
2	2 = Continuing participant	1 = Low-Income and First-Generation
3	2 = Continuing participant	1 = Low-Income and First-Generation
4	2 = Continuing participant	1 = Low-Income and First-Generation
5	2 = Continuing participant	2 = Low-income only
6	2 = Continuing participant	1 = Low-Income and First-Generation
7	2 = Continuing participant	1 = Low-Income and First-Generation
8	2 = Continuing participant	1 = Low-Income and First-Generation
9	2 = Continuing participant	1 = Low-Income and First-Generation
10	2 = Continuing participant	1 = Low-Income and First-Generation
11	2 = Continuing participant	1 = Low-Income and First-Generation
12	2 = Continuing participant	1 = Low-Income and First-Generation
13	2 = Continuing participant	1 = Low-Income and First-Generation
14	2 = Continuing participant	1 = Low-Income and First-Generation
15	2 = Continuing participant	2 = Low-income only
16	2 = Continuing participant	2 = Low-income only
17	2 = Continuing participant	2 = Low-income only
18	2 = Continuing participant	1 = Low-Income and First-Generation
19	2 = Continuing participant	1 = Low-Income and First-Generation
20	2 = Continuing participant	3 = First-generation only

Prev Page 1 of 6 Next >>

There are some circumstances in which a grantee may not have met the number of participants the project was funded to serve. In these situations, you must provide an explanation for the discrepancy between the funded number and the number served. Type your explanation in the text box below (limit 1,000 characters and spaces).

Submit Explanation and Continue

6.2.2 Funded Rate and Eligibility Status Report (Within Range)

If your data falls within the established range, no changes are necessary and you may click the "***Continue***" button to continue your submission.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Funded Rate and Eligibility Status Table and Current Participants and Eligibility Status Report

2010-11 Funded Rate and Eligibility Table

The table below provides information on: (a) the number of participants funded to serve and served and (b) the percent of participants served who were both low-income and first-generation.

The information provided in the section **"Number of Participants Funded to Serve & Served"** is based on serving at least as many participants (i.e., 100% or more) as the project was funded to serve.

The information provided in the section **"2/3 Eligibility Requirement: First-generation and low-income"** is based on the project meeting the two-thirds eligibility requirement (i.e., 66% or greater). To determine whether your project met this requirement, the column: "Number first-generation and low-income" was divided by the column: "Number of Current Participants Served."

Please review the information contained in the table below. If your project did not meet the requirements mentioned above, please verify that the participant and eligibility status codes for each current participant for whom you provided information are correct. Your "current participants" are coded in field #24 as a 1, 2, 3, 6 and 7. Only current participants coded 1 (low-income and first-generation) in field #17 are reflected in the column "Number of first-generation and low-income."

Funded Rate and Eligibility Status Table				
Number of Participants Funded to Serve & Served			**2/3 Eligibility Requirement: First-generation and low-income**	
Number Funded to Serve	Number of Current Participants Served	Percent Served	Number of first-generation and low-income	2/3 Eligibility Percent
105	126	120%	90	71%

2010-11 Current Participants and Eligibility Status Report

The report below provides a list of your new, continuing, reentry, transfer, and new after the beginning of the 2009-10 academic year participants who received project services (1, 2, 3, 6, and 7) along with the participant's eligibility status.

1. Your current participants are derived from field #24 and are coded as follows:
   1 = New participant, for reporting period
   2 = Continuing participant
   3 = Reentry participant, previously served by project submitting report
   6 = Transfer participant in reporting year
   7 = New participant served for the first time after the beginning of the 2011-12 academic year (only for projects with December 1, 2007, starts)

2. The eligibility status codes are derived from field #17 and are:
   1 = Low-Income and First-Generation
   2 = Low-income only
   3 = First-generation only
   4 = Other
   0 = Unknown

Please review the information carefully and

- verify that the participant and eligibility status codes are correct.
- verify that all students reported as current participants (1, 2, 3, 6, and 7) were actually served during this reporting period.
- verify that you correctly updated the participant status field for all participants served in a previous reporting period.
- provide an explanation if you did not meet the number of participants funded to serve.

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Current Participants and Eligibility Status Report for 2010-11

Participant's Name	Participant Status Code	Eligibility Status Code
1	2 = Continuing participant	2 = Low-income only
2	2 = Continuing participant	3 = First-generation only
3	2 = Continuing participant	1 = Low-Income and First-Generation
4	2 = Continuing participant	1 = Low-Income and First-Generation

Prev Page 1 of 7 Next >>

Continue

6.3 Critical Fields Verification Report - Step 3

The next step of the Tier 1 process is the **Critical Fields Verification Report**. This page lists fields that TRIO considers critical for analyzing project and program outcomes. The system calculates the percentage of these fields in your participant records with "***No Response/Unknown***".

We ask that you review fields for which 10% or more of the records have "***No Response/Unknown***" and either correct/update the data or provide an explanation as to why the data is not available.

To change a participant's record so as to provide data on critical fields, click on the ***Section II*** hyperlink. Once you have made the necessary changes, click on the ***Review and Submit*** tab to resubmit your data. If you are unable to update all data, enter an explanation in the text box.

Review and Submit
Step 3 - Critical Fields Verification Report

Your funded/served rate has met the established threshold of 100%

TRIO has identified the following fields as critical. TRIO would like to ensure a minimal number of "No Response/Unknown" entries. In most cases these are valid responses, however, high percentages of these responses are not desired. The table below lists the critical fields and the number and percentage of participants with a 'No Response/Unknown' entry in that field.

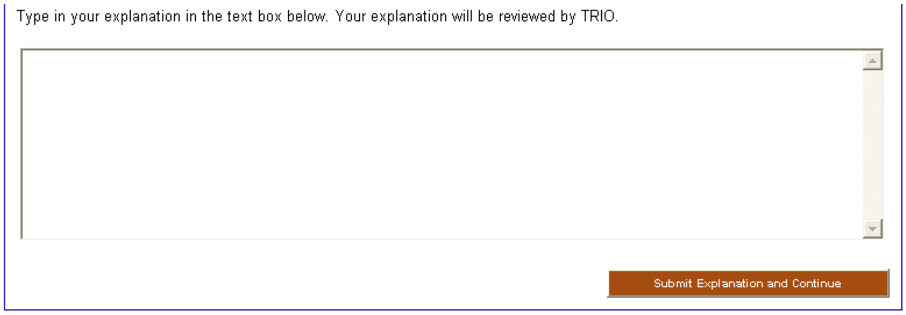
Please provide data for these critical fields for as many participants as possible. If you have critical fields with a high percentage of "No response/Unknown", we recommend correcting the data offline and uploading the corrected file. You may return to Section II to update any fields with a "No Response/Unknown" entry.

For participants for whom data was not available for these critical fields, provide an explanation in the text block at the end of this report.

Note that grantees should have no unknowns for fields #21 and #22 (Date of First Project Service and Grade Level at First Service).

You have 392 participant records.

	Field Name	Number with No Response/Unknown	Percent
8.	Student DOB	0 records	0%
21.	Date of First Project Service	0 records	0%
22.	Grade Level at First Service	0 records	0%
23.	Exp HS Grad Cohort Year	0 records	0%
24.	Participant Status	3 records	1%
26.	Level (start of AY 10-11)	12 records	3%
27.	Level (start of AY 11-12)	16 records	4%
33.	Retention in Project (begin of AY 11-12)	3 records	1%
36.	Last Service Date	0 records	0%
45.	First Enrollment Date	26 records	7%
50.	PSE enroll. obj. for 2010-11	62 records	16%
51.	PSE persistence--denominator	51 records	13%
52.	PSE persistence--numerator	0 records	0%

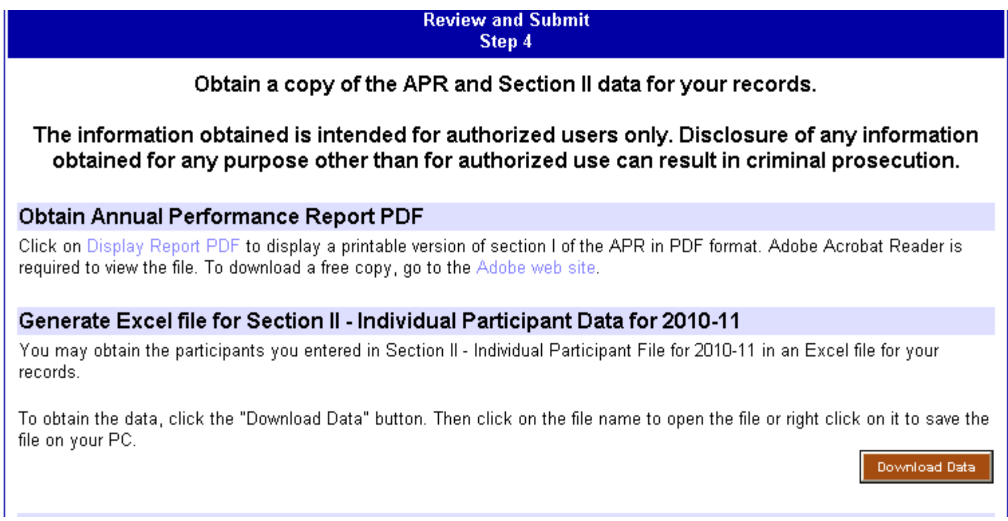

Type in your explanation in the text box below. Your explanation will be reviewed by TRIO.

Submit Explanation and Continue

6.4 Review and Submit - Step 4:

This page lets you display a printable PDF version of your APR through the "Funded Rate" and "Critical Fields" reports. Click on ***Display Report PDF*** to view Sections I and II of the report. Print the file for your records. If your project presents issues needing resolution in the Tier 2 data checks, you will have an opportunity to obtain an updated PDF at the end of Tier 2.

If you do not already have a final copy of your data, or have made changes to the data since you uploaded it, click the "***Download Data***" button to create an Excel spreadsheet of the data you entered in Section II. Save this file to your workstation. Click on the "***Continue***" button.


Review and Submit
Step 4

Obtain a copy of the APR and Section II data for your records.

The information obtained is intended for authorized users only. Disclosure of any information obtained for any purpose other than for authorized use can result in criminal prosecution.

Obtain Annual Performance Report PDF

Click on Display Report PDF to display a printable version of section I of the APR in PDF format. Adobe Acrobat Reader is required to view the file. To download a free copy, go to the Adobe web site.

Generate Excel file for Section II - Individual Participant Data for 2010-11

You may obtain the participants you entered in Section II - Individual Participant File for 2010-11 in an Excel file for your records.

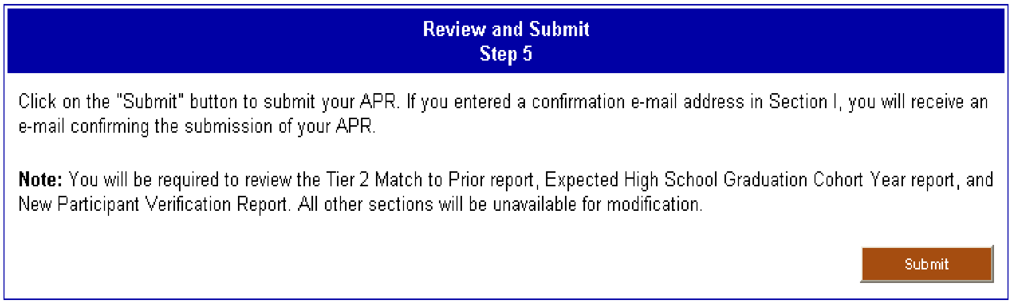
To obtain the data, click the "Download Data" button. Then click on the file name to open the file or right click on it to save the file on your PC.

Download Data

6.4.1 Review and Submit - Step 5:

Click on the "***Continue***" button. The APR is not complete until the participant data passes the second tier data checks. If the Tier 2 review finds errors in Section II of your report, we will grant you a one-week extension to revise and upload that portion of the

APR only. Instructions will display after you submit. No other sections will be available after submission.



6.5 Submission with Tier 2 Data Validation – Step 6

After initial submission of the APR, the Tier 2 validation process compares the 2010-11 participant data with the UB system of records. If this is your first year of funding, your report is excluded from these data quality checks.

The second tier data checks include the ***Match to Prior, Expected High School Graduation Cohort Year*** and ***New Participant*** reports.

Review and Submit APR Submitted (with Tier 2 errors):

If Tier 2 data validation identifies errors in Section II of your report, the Review and Submit Tier 2 page will display identifying the APR submission date. Please note that if you make any changes to the participant data file, the participant data error report and the Tier 1 and Tier 2 data quality reports will be re-run. If there are additional data errors, you must correct these prior to resubmitting the APR.

Click on the "***Continue***" button to review the Match to Prior Report, Expected High School Graduation Cohort Year report, and the New Participants report and begin the Tier 2 submission process.

6.6 Tier 2 Verification Reports

6.6.1 Match to Prior Report

The ***Match to Prior*** report compares participants on your 2010-11 APR with the UB system of records for your project to ensure that you have included on the 2010-11 report all participants for whom the Expected High School Graduation Cohort Year (field #23) is 2008 or later. As noted in Gaby Watts's letter regarding the APR (found at http://www2.ed.gov/programs/trioupbound/report.html), grantees **must** restore records for any participants who may appear in this report.

How to restore student records to your 2010-11 APR file: To restore any participant listed below to your 2010-11 APR file, click the box aligned with the student's name; then click "Update 2010-11 file." To add at once all students listed on the page, click "Check All on Current Page" before clicking the "Update" box. Once you have restored records to your 2010-11 APR file, you should update the data fields for the student.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Match to Prior report

This report compares the participants on your 2010-11 APR with the UB system of records for your project to ensure that you have included in your APR all participants for whom the Expected High School Graduation Cohort Year (field #23) is 2008 or later. Those participants not included on your 2010-11 APR whose graduation cohort year is 2008 or later are displayed below.

Please restore the records in the Match to Prior (MTP) report to your 2010–11 APR. Last year (for the 2009–10 APR data collection), the Department allowed grantees to contact the TRIO Help Desk if the Match to Prior report listed participants who grantees believed did not need to be added back to the 2009–10 APR. Department staff members worked extensively with grantees to resolve all such cases in spring and summer 2011. The Department is therefore not considering any additional changes to the UB system of records unless a grantee has documentation that the Department made an error in its updates.

Mismatches: Grantees sometimes find in the MTP report a student who they know is already in their 2010–11 APR. Often the explanation is that an earlier year's record for a student does not match the 2010–11 record because the latter has a change in SSN, date of birth, or spelling of first or last name. Particularly for this year, in which time is of the essence, the Department asks grantees not to change identifying data for students (name, SSN, and date of birth) reported in 2009–10 APR, even if the identifying data has errors. For the sake of the UB system of records, it makes no difference if a student's record has misspellings or an inaccurate SSN as long as the record remains the same from year to year. Please do not add back a student listed in the MTP report if you believe the result will be two records for one student; instead, change the identifying data for the student to match the data provided in your 2009–10 APR.

How to restore student records to your 2010–11 APR file: To restore any participants listed below to your 2010–11 APR file, click the box aligned with the student's name; then click "Update 2010–11 file." To add at one time all students listed on the page, click "Check All on Current Page" before clicking the "Update" box. Once you have restored records to your 2010–11 APR file, you should update the data fields for the student.

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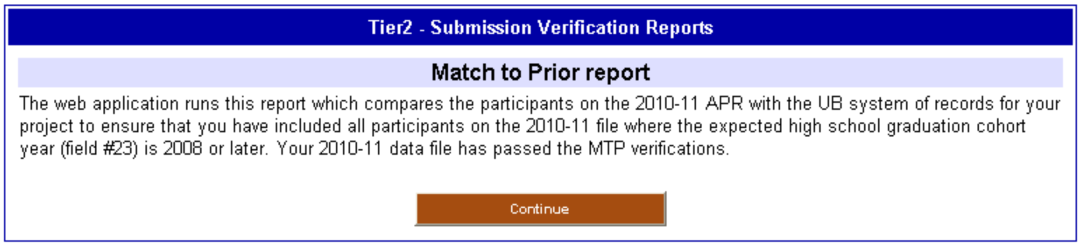
Total participants in the UB system of records not listed in the 2010-11 submission: 5

#	Participant Name	Expected HS Graduation Cohort Year	Check All on Current Page
1		2008	☐
2		2008	☐
3		2008	☐
4		2008	☐
5		2008	☐

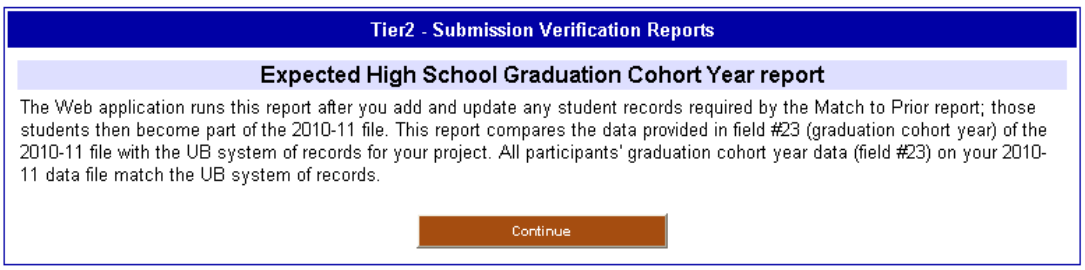
Update 2010-11 file

Page 1 of 1

To add the participants, click "***Check all on current page***" or click on the box for each participant that you want to add to your file. Then click on "***Update 2010-11 file***." This will return you to Section II and allow you to update the participant records. After updating participant records, click on the "***Return to Tier 2 Match to Prior report***" button.



If you made corrections on the ***Match to Prior*** report, a confirmation message will display. If all the participants' graduation cohort year (field #23) on your 2010-11 data file matched the UB system of records, the following screen displays.



Click on "***Continue***" to proceed. If there are discrepancies, you will proceed to the Expected High School Graduation Cohort Year report, Otherwise, you will proceed to the New Participant Verification report.

6.6.2 Expected High School Graduation Cohort Year report

After adding and updating any student records required on the Match to Prior report, grantees may see the ***Expected High School Graduation Cohort Year*** report which compares data on cohort years (field #23) in your 2010-11 APR with data in the UB system of records. If your data for certain students differs from that of our system of records, the affected participants and the two different cohorts for each will appear on the screen. As noted in Gaby Watts's letter regarding the APR (found at http://www2.ed.gov/programs/trioupbound/report.html), under almost all circumstances grantees must accept the UB system of records' cohort year for each student listed in the report.

To correct field #23 for a participant to match the UB system of records, click on the individual checkbox. To correct the data in this field for ALL participants listed on the **current page,** click on the "***Check All on Current Page***" button, then click on the "***Update HS Graduation Cohort Year on 2010-11 file***" button at the bottom of the page. For multiple pages of participants, you must do this on each page. The system will automatically update these participant records to match the system of records.

Note – student names have been removed from the screen shot below. Your screen will include the names of your students.

Tier2 - Submission Verification Reports

Expected High School Graduation Cohort Year report

After adding and updating any student records required on the Match to Prior Report, grantees will see the Expected High School Graduation Cohort Year Report, which compares data on cohort years (field #23) in your 2010-11 APR with data in the UB system of records. If your data for certain students differs from that of our system of records, the affected participants and the two different cohorts for each will appear below.

For your 2010-11 APR, please accept the cohort(s) in the column, "UB System of Records' Expected HS Graduation Cohort Year." Last year (for the 2009-10 APR data collection), the Department allowed grantees to contact the TRIO Help Desk if the Expected HS Graduation Cohort Year report's list of cohorts from the UB system of records did not match that of the grantees' 2009-10 APRs. Department staff members worked extensively with grantees to resolve all such cases in spring and summer 2011. **The Department is therefore not considering any additional changes to cohorts in the UB system of records** unless a grantee has documentation that the Department made an error in its updates.

Mismatches: Check your records carefully for the student(s) below—particularly the first and last names, SSN, and date of birth you provided in each year the student appeared on your file. Remember that, if you have changed the student's identifying data (name, SSN, and date of birth) in this year or an earlier APR, the UB system of records may not match to the correct record for the student; you may therefore be prompted to accept an incorrect cohort year. Particularly for this year, in which time is of the essence, the Department asks grantees not to change identifying data for students (name, SSN, and date of birth) reported in your 2009-10 APR, even if the older identifying data has errors. For the sake of the UB system of records, it makes no difference if a student's record has misspellings or an inaccurate SSN as long as the record remains the same from year to year. If you suspect that you are being prompted to accept an incorrect cohort because of a matching problem, please contact the Help Desk.

How to accept cohorts from the UB system of records: To change your 2010–11 APR's cohort for the participant(s) listed below, click the box aligned with the student's name; then click "Update HS Graduation Cohort Year on 2010–11 file." To add at once all students listed on the page, click "Check All on Current Page" before clicking the "Update" box. The system will then automatically update the participant's record in your file to match that of the UB system of records.

Page 1 of 1

Total students on the 2010-11 data file whose Graduation Cohort Year is different from that in the UB system of records: 2

#	Participant Name	UB System of Records' Expected HS Graduation Cohort Year	Expected HS Graduation Cohort Year in 10-11 APR	Check All on Current Page
1		2010	2009	☐
2		2008	2009	☐

Update HS Graduation Cohort Year on 2010-11 file

Page 1 of 1

After completing the cohort year report, you will proceed to the New Participant Verification Report.

6.6.3 Tier 2 - New Participant Verification Report

This report compares participants listed as “new” on your APR with those listed as “new” on the prior year’s APR. A participant should not be classified as “new” in two consecutive reporting cycles. If a participant was new last year, and is listed as new again this year, you must update the participant status code for that individual for the current reporting year.

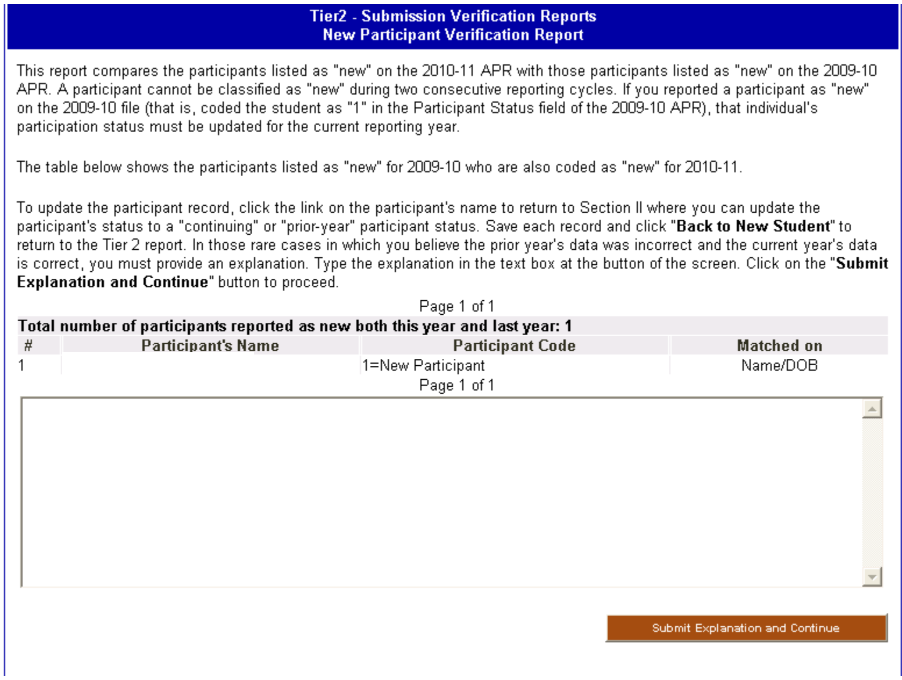
If the system detects errors, the screen shows participants listed as “new” in the current and prior reporting year. The most likely reason for this is that you did not update the participant status code for the current reporting year. You must update the records or provide an explanation before continuing with the APR submission process.

Correct the participant’s status by clicking on his/her name to return to the Section II Web form. Update the participant status to a “continuing” or “prior-year” participant status, or submit an explanation in the box provided.

New Participant Verification Report - (with errors)

To correct a participant record, click on the student name hyperlink to return to Section II. Here you can change the participant status code (field 24) to "continuing" or "prior-year". Save each record and click “***Back to New Student***” to return to the Tier 2 report. In those rare cases in which you believe the prior year’s data was incorrect and the current year’s data is correct, you must provide an explanation. Type the explanation in the text box at the bottom of the screen. Click on the “***Submit Explanation and Continue***” button to proceed.

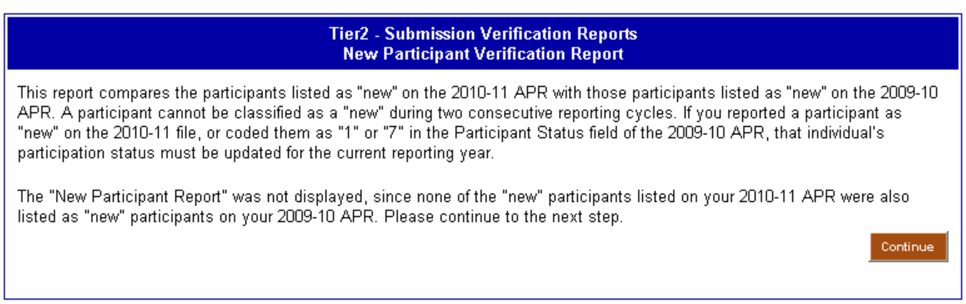
Note – student names have been removed from the screen shot below. Your screen will include the names of your students.



Click on the "***Submit Explanation and Continue***" button. Your explanation will be acknowledged at the head of the next report:

Tier 2 - New Participant Verification Report - (no errors)

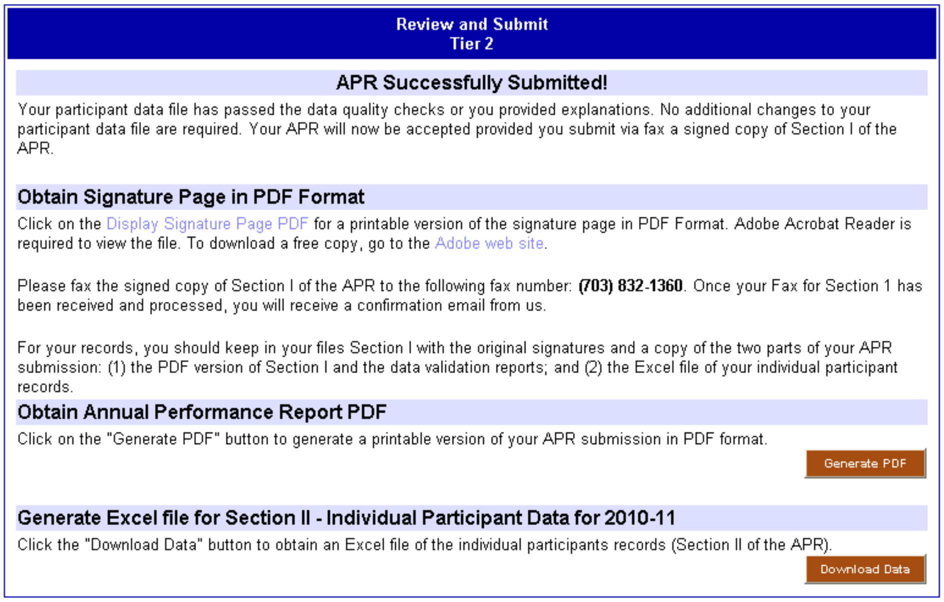
If your file passes the ***New Participant*** review, you will see a screen similar to the one below. Click on the "***Continue***" button.



Click on the "***Continue"*** button to proceed with the APR submission. The Funded Rate and Critical Fields reports from Tier 1 will be run against any changes made in Tier 2. These reports are explained in more detail in Sections 6.2 and 6.3.

6.7 Review and Submit – APR Submitted

Once you have successfully made the changes required for Tier 2 validation the following screen displays acknowledging your APR submission is complete:



Review and Submit
Tier 2

APR Successfully Submitted!

Your participant data file has passed the data quality checks or you provided explanations. No additional changes to your participant data file are required. Your APR will now be accepted provided you submit via fax a signed copy of Section I of the APR.

Obtain Signature Page in PDF Format

Click on the Display Signature Page PDF for a printable version of the signature page in PDF Format. Adobe Acrobat Reader is required to view the file. To download a free copy, go to the Adobe web site.

Please fax the signed copy of Section I of the APR to the following fax number: **(703) 832-1360**. Once your Fax for Section 1 has been received and processed, you will receive a confirmation email from us.

For your records, you should keep in your files Section I with the original signatures and a copy of the two parts of your APR submission: (1) the PDF version of Section I and the data validation reports; and (2) the Excel file of your individual participant records.

Obtain Annual Performance Report PDF

Click on the "Generate PDF" button to generate a printable version of your APR submission in PDF format.

Generate PDF

Generate Excel file for Section II - Individual Participant Data for 2010-11

Click the "Download Data" button to obtain an Excel file of the individual participants records (Section II of the APR).

Download Data

Once your APR has been successfully submitted, no additional revisions are needed. If you provided an email address in Section I, a confirmation email will be sent.

To generate a print copy of the APR, including the Section I signature page, click on the "***Generate PDF***" button. The APR will display as a PDF. Print the first page, collect the required signatures and send the fax. (This PDF will provide information and reports updated from the PDF available at the end of Tier 1, which included only the Funded Rate and Critical Fields reports.)

Adobe Acrobat Reader is required to view PDF files and can be downloaded from the Adobe site via the hyperlink on this page. Once the PDF is displayed, select "***File-Print***" from the menu or click on the printer image.

To download an Excel version of the 2010-11 data file, click on the "***Download Data***" button. A blue hyperlink file (e.g. *P047AYYXXS9_2010-11_final.xls*) will appear on the screen.

To open the file in your browser window, click on the hyperlink.

To save the file to your desktop, right click using your mouse and select the "***Save Target As***" option. Select a location on your desktop (e.g., My Documents) to save the file.

Click on the "***Log Out***" button to end the session and return to the UB/UBMS/VUB main page. No further revisions to your file can be made.